MOSA UNIVERSITY

Research & Innovation Policy

For

MOSA UNIVERSITY

(Fully registered with Higher Education Authority of Zambia - HEA/056)

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INTRODUCTION

MOSA University is one of the fast-growing private universities in Zambia. We have educational partnerships with the leading universities around the world and one of the most extensive International student exchange programmes and industry collaborations at national and international level.

On our campuses there are focused centres of expertise and well-equipped, modern facilities, well experienced research professors to guide research scholars in the field of health science, social science & management, education and computer science which create a truly international learning environment.

Research Collaboration with industry and extension services are central focus of MOSA campus life and the collaboration are made among health care institutions, NGOs, and CBOs.

MOSA Research and Innovation development Policy
Improving our research performance and standings is a key component of our Plan. School of Post Graduate Studies & Research (SPGS&R) is responsible for coordinate research enhancement plans under the able leadership of Dean. We are now beginning to make additional investments in support of our strategy, which includes appointing a large number of senior researchers in our priority areas which in line with 7th National Development plan and Vision 2030. Building on our existing strengths, our planned investment will support our drive to increase in research areas which include health science, education and social science.

As part of the policy at the university, we are appointing senior research staff in our key subject areas. We are also committed to increasing the number of research students across the University. We aim to increase research capacity still further by selecting higher caliber Research Scholars / Research Scholar Tutorships.

Academic Research Policy Statement
MOSA believes that Institutions of Higher Education should be significant initiators of the advancement of knowledge and understanding, based upon a dynamic programme of research, as well as disseminating knowledge & innovation and understanding through taught programmes and other activities.

The University believes that research is vital to the provision of a stimulating learning environment in which staff and students, including research scholars, flourish and fulfill their potential. Research contributes to staff confidence, competence and development and supports the professional health of staff.

The University also believes that involvement in research informs and enhances the design and delivery of the University's curriculum and ensures that the curriculum is both up-to-date and relevant. Research encourages the development of open and critical minds – a vital part of the University's education philosophy through students interacting with staff who are working at the forefront of subject knowledge and professional practice and through the provision of student projects and case studies.

The University believes that interdisciplinary research is particularly important in support of its mission and its desire to provide broad and flexible educational opportunities for its students.

The University recognises the importance and benefits of research in attracting and retaining high quality staff; developing and sustaining stronger relationships with the Research Councils, government bodies, industry, commerce, the public sector, voluntary organisations and the professions; developing and sustaining strong links with partner institutions locally, regionally and internationally.

The University expects that the majority of academic staff – and all staff teaching on under graduate & postgraduate courses – will be active in research (as defined by the University), and this will be monitored as part of the annual staff development appraisal system. Accordingly, the University is committed to provide academic staff with the support necessary to foster their research activity.

The University accepts that the nature of research differs from discipline to discipline and covers a wide range of scholarly and intellectual activities. The University differentiates between (1) research and scholarship, which leads to the advancement of knowledge and innovation, and (2) other scholarly activity, which involves keeping abreast of subject developments, curriculum development, and the writing of most kinds of textbooks. In this policy statement the term research is used in the sense of (1) above.

The University research criteria includes:

Basic Research: experimental or theoretical work undertaken primarily to acquire new knowledge without any specific application initially in mind;

Strategic Research: work intended to generate new knowledge in an area which has not yet advanced sufficiently to enable specific applications to be identified but for which applications are likely;

Applied Research: work which seeks to develop existing knowledge and is directed towards specific practical objectives and research users or towards the evaluation of policies or practices;

Action Research: work which seeks to designed to uncover effective ways of dealing with problems in the real world along with affected communities using participatory approach;

Creative Work: the invention, innovation and generation of ideas, hypotheses, images, performances or artefacts, including design in any field of knowledge which leads to the development of new knowledge, understanding or expertise;

Scholarship: work intended to expand the boundaries of knowledge and understanding within and across disciplines by the analysis, synthesis and interpretation of ideas and information, making use of a rigorous and documented methodology and which results in various kinds of research publications.

The University, therefore, values and supports research as one aspect of its mission. Accordingly, it will encourage all kinds of research as defined above.

- Continue to define research in accordance with the needs of its under graduate & postgraduate teaching, and produce lists of staff who are research active in this respect;
- Encourage and actively support staff by offering incentives (which may be financial) to seek funding from a range of sources, including government, commercial and industrial sources;
- Target its own research funding strategically and selectively, in accordance with the University's mission, Research Plan, and School Research Plans through inter alia: the support of University designated Research Centres, research groups – in particular, multidisciplinary research groups; collaborative research with research groups in other institutions (in accordance with the University's policy in this respect); and individual research projects of proven or potential quality;
- Use sabbatical leave as an important element of research development, in accordance with the sabbatical leave Policy Statement;
- Expect research undertaken by university staff to enhance the University's taught programmes and to contribute to agreed staff development programmes;
- Maintain effective and efficient procedures for the promotion, planning, management and monitoring of research projects, and for monitoring and evaluating the progress of research students & fellows;
- Develop systems for the support of new researchers, and for other staff who have research as their primary role, providing thereby opportunities for their career enhancement within the University;
- Ensure that research students benefit from an appropriate programme of research training in addition to the pursuit of their individual research projects;
- Pursue the practice of peer group assessment in the evaluation of internally-funded research project proposals and in the evaluation of final project reports arising from internally-funded research programmes;

- Encourage staff to publish their research findings in peer reviewed outlets such as journals, books, electronic media, seminar and conferences, and where appropriate, exhibitions, performances and artefacts at national and international level;
- Encourage research links with the Research Councils, government bodies, the community, industry, commerce, the public sector, voluntary organisations and with the professions, regionally, nationally and internationally;
- Develop and publish three-year rolling action plan for the implementation of research policy. This plan should include a review of past University investment in research, and annual targets for research income and research outputs for each School of the University and, where appropriate for Services, and should be regularly monitored and updated following consultation;
- Develop and use performance indicators related to research in evaluating the implementation of this research policy and its associated plans.

THE DEFINITION OF 'RESEARCH ACTIVE' STAFF RELEVANT TO UNDER GRADUATE & POSTGRADUATE TEACHING

The Types of Research Active Staff

1. Those who meet 'research active' criteria in publishing at least one high quality research output per year (the term 'output' here used to denote a research paper, book, chapter, performance, item of fine art, etc.).

2. Those at an advanced stage of completing a Ph.D.

3. Staff who are producing high quality work but not in such quantity as to qualify for submissions (i.e. research output produced once every two or three years, and presentations of papers at research conferences and research seminars).

4. A member of staff who is actively and successfully supervising research students but who is not necessarily publishing or even those indicated above.

5. A member of staff who is actively involved in high quality contract research but who is not publishing at the above rates but who is producing research reports effectively.

6. Those who have completed a Ph.D but who have not yet begun to publish because they are relatively inexperienced in that respect but the prospect of early publication of research is good.
7. A member of staff who has published in the past and who is actively involved in the management of research but who is not necessarily any longer publishing.

8. Someone who is involved in the development of knowledge or technique in a professional capacity (e.g. in Art, Design and the Performing Arts, or other areas such as Business Studies) but who is not producing the type of research output indicated above.

9. A member of staff who is involved in innovate ideas, concepts, identification Gene discovery & submission that have never been done before.

Staff Intellectual Property Rights &Revenue

Introduction
Intellectual property (IP) is the product of thought, creativity and intellectual effort. In the course of their research, teaching and consultancy activities, staff may generate intellectual property (eg. 'results'), which are of some commercial value. The law recognises that time spent in creating original artistic and literary material, creating databases, making inventions, and working on research concepts & ideas and designs for new products and processes, is an investment which deserves protection from being copied and/or exploited by other parties for their benefit without reference to the originator. A variety of legal rights protect applications of ideas and information that may be of commercial value. Those most relevant to the University's activities include patents, unregistered and registered designs, database rights, copyright, and 'know how.'

Principles
The University recognises the importance of careful exploitation of its intellectual property (IP): both in terms of fulfilling its obligations to the knowledge economy and to generating a financial return from the intellectual capital it supports.

The University believes that there is no inherent conflict between this goal and the University's overriding mission.

In some cases, the University has an obligation to seek out exploitation. Where the Research Councils or some charitable institutions fund the University's research and development activities, it may be contractually required to actively seek opportunities to do so.

The consideration of IP Rights should be part of All University activities that are of a creative or inventive nature. The protection of IP Rights should not be an afterthought.

The University also wants to enable its staff to receive a substantial share of the benefits of commercial exploitation of the IP Rights it retains. It recognises that the successful handling of intellectual property can influence significantly both staff recruitment and morale.

Based on these principles, the University's policy objectives regarding intellectual property may be summarised as follows:

- To achieve the best return to the University from research and development & innovation work;
- To enable members of staff who generate intellectual property to receive a share of the benefits of commercial exploitation;
- To ensure that innovations and discoveries arising from research in the University are made widely available to the benefit of the wider society.

Expertise to promote the effective management and exploitation of intellectual property is provided by MOSA, which can in turn draw on external professional support as required.

Ownership

This Policy Statement sets out the University's position concerning the ownership and division of revenue in respect of intellectual property developed by staff members in the course of their employment. As a Policy Statement, it does not aim to deal exhaustively with all possibilities, but sets a framework within which decisions can be reached in individual cases.

In relation to questions of ownership of intellectual property, the University relies on The Patents Act (No.40 of 2016), The Layout Designs of Integrated Circuits Act (No.6 of 2016), The Industrial Designs Act (No.22 of 2016), Copyright and Performance Rights (Hologram) Regulations-2013, The Electronic Communications and Transactions Act No. 21 of 2009 ('the ECT Act'), The Information and Communications Technologies Act No. 15 of 2009 ('the ICT Act'), The Protection of Traditional Knowledge, Genetic Resources and Expressions of Folklore Act (No.16 of 2015) and the Plant Breeders Rights Act No 18 of 2007. The Patents Act which state respectively that ownership vests in the employing organisation in cases where the invention, design, or 'work' is made in the course of the employee's normal duties or might reasonably be expected to result from those duties, or is made as a result of specially assigned duties. Employers have similar rights in relation to 'know how.'

In some cases where intellectual property is generated by University staff, there may also be third party rights or other contractual obligations. Thus, the University must enforce its rights in the results of research projects involving sponsorship by third parties. In the case of The National Science and Technology Council, the University has a 'licence to exploit' the results on behalf of Councils.

Based on legislative provisions, and such contractual obligations identified above, the University will retain its rights to ownership of all IP, if:

- It was made in the course of the employee's normal duties such that the IP might reasonably be expected to result from the employee carrying out those normal duties;
- It was made in the course of duties failing outside those normal duties but in the course of duties specially assigned to the employee, such that the IP might reasonably be expected to result from the employee carrying out those specially assigned duties;
- The nature of the employee's duties and the particular responsibility arising from their nature were, at the time the IP was made, such that the employee had no obligation to act in good faith towards the University; or
- It was made, without special payment or arrangement by the employee, using consumable resources of the University.

The University, therefore, retains its rights to ownership of the following categories of staff output when any one (or more) of the four conditions above apply:

- Patentable and non-patentable inventions and related confidential information;
- All work pertaining to the finance and administration of the University;
- Computer programs including the source code – software/firmware works – and databases;
- Registered and un-registered designs and semi-conductor topographies;
- Outcomes of research which have been specifically funded or supported by the University or its public funding partners; or
- Copyright in learning materials.

Learning Materials' may be originated by any member of staff acting in their professional capacity. They include validation requirements and course documents, lectures and open distance learning materials, syllabuses, teaching schemes, annual reports, course handbooks, course publicity materials, records and documents developed for examination and assessment purposes, and work specifically commissioned by the University in any format. The authors of these learning materials will normally be identified in the materials as authors, unless they desire not to be so identified. Should the University alter significantly the content of any learning materials, their authors shall be given the opportunity to remove their names. E-learning materials are the subject of a supplementary document.

University ownership of these *learning materials* is not intended to preclude the use of these materials by their staff authors, including its publication in paper or electronic format. However, in all cases, the staff author wishing to use this material must seek prior written permission from the University. This is in order to protect the University in cases where any of the material in question is the subject of a third-party agreement entered into by the University.

By custom and practice, MOSA have by implication waived their rights to ownership of various types of copyright material, which would otherwise vest in them at law. Following this custom and practice, the University specifically *waives its rights* to ownership in respect of:

- Journal articles and books;
- Dramatic works – notes for performance, dance or mime;
- Musical works;
- Artistic works or works of 'artistic craftsmanship;'
- Graphic works, photographic works, sculptures, etchings, lithographs or woodcuts;
- Sound recordings;
- Films – and recording of any kind from which a moving image and soundtrack may be reproduced;
- Broadcasts to the public and cable programmes via telecommunications;
- Conference proceedings;
- Gene discovery and
- Type faces.

At all times and in all cases, the member of staff concerned must observe the University's Code of Practice – Confidential Information. This is in order to best protect the staff author's colleagues and the University itself in cases where the material in question is deemed to comprise information of a confidential nature.

In some cases, it would be reasonable to expect employee authors to enter into licence agreements with the University whereby the University would be enabled to use some of these materials and, where appropriate, publish them through MOSA University Press. Where the University desires the conversion of any of the above works in which it has waived its right into University *learning materials,* the written consent and active approval of the author(s) would be required. The authors of such converted works will normally be identified as authors unless they desire not to be so identified. In all other circumstances where law applies the IP belongs to the author/originator.

Revenue Sharing

Good practice suggests that revenue sharing (from the commercial exploitation of IPRs) may be best achieved via the simple formulae – 'recover the University's direct costs up to a point, then pay the majority of the first net income to the originator – up to a ceiling – so as to provide a motive for active participation in the first stages, then further split the proceeds on a stepped percentage scale, with the employer taking more as the profits accumulate.'

To this end, net revenue shall be distributed as follows:

Net Revenue	Employee(s)	School/Dept	Central	'Ventures' Fund
<$ 5,000	90%	10%	0%	0%
$5,000 - $10,000	40%	25%	25%	10%
$10,000 - $ 25,000	30%	25%	35%	10%
>$25,000	25%	25%	40%	10%

Investment by Schools/Departments

The School/Department will normally be given the opportunity to participate on the basis of an agreement to underwrite 50% of the costs of initial registration of the IP (for patents, registered designs, and trade marks). However, no actual charge will be made until and unless the project is abandoned.

Where the School/Department for any reason does not participate then Central Fund will be augmented accordingly. Where a Research Sponsor requires a share of exploitation revenue the definition of net revenue and/or the percentage due to the School/ Central Fund may vary.

Ongoing Revenue

Should the employee retire or leave the University, his/her ongoing revenue allocation will continue to be paid.

In the case of the (ex) employee's death, the entitlement shall continue to be paid for the benefit of his/her estate.

Multiple Originators and/or Disputes

Where there is more than one employee claiming to be the originator, the distribution of the employee's entitlement shall be a matter for them to determine. Should they fail to agree they must refer the matter to their Dean, the Deputy Vice-Chancellor for decision. The decision of this individual (or group) shall be final.

Possibilities for Assignment

Employees should be reassured that, in the case of the University deciding not to pursue any IP of which it has ownership beyond its initial registration, a practical resolution can be achieved. The employee may request that, in return for payment to the University of all costs incurred in registration and for agreement to a small royalty (normally 5-6% of gross sales ie. to be paid only in circumstances of commercial exploitation), that the University may assign the IP to him/her.

Incorporation for Purposes of Commercial Exploitation

Where exploitation of IP is through the creation of a spin-out company, the employees concerned may participate in that company as shareholders. It would normally be expected that ongoing

license / royalty arrangements would also be in place, but a wide spectrum of possible options exist and each case shall be negotiated on its merits – refer the University's New Policy Statement – 'Enterprise Activity and Incentives' which will shortly be introduced.

Research Records, Disclosure and Confidentiality

Employees shall be expected to:
- Maintain concurrent documentation in respect of any inventions, software/firmware developments, or designs in accordance with procedures set out in the Appendix to the Guide to Intellectual Property; and
- Maintain confidentiality in respect of their work in accordance with procedures set out in The Management of Confidential Information: Code of Practice and Procedures.

In implementing this Policy, the University will:
- Provide training and advice on intellectual property to staff;
- Develop codes of practice and other written guidelines on specific aspects of intellectual property to facilitate the identification and best use of intellectual property generated within the University;
- Monitor its procedures and practices to ensure the best financial return possible to staff and to the University;
- Develop an appeals procedure in case of disputes among staff concerning matters of intellectual property;
- Ensure that the University's practices conform with legal developments.

CODE OF PRACTICE FOR RESEARCH MANAGEMENT: PRINCIPLES AND PROCEDURES

1. Introduction

MOSA has a responsibility to ensure that research carried out by its employees, researchers and students, or by others in its name is carried out in conformity with the law, and in accordance with the best current practice and principles. This responsibility is particularly important where professional or industrial practices, or public policy might be defined or modified in the light of research findings.

The broad principles that guide research have long been established, and they are regarded as vital to the University. Central to these are the maintenance of high ethical standards, and validity and accuracy in the collection and reporting of research findings. Communication between collaborators, maintenance of, and reference to, research records, presentation and discussion of work at meetings of experts, publication of results including the important element of peer review, and the possibility that investigations will be replicated or extended by other researchers, all contribute to the intrinsically self-correcting and ethical nature of research.

The University expects those engaged in research to act in accordance with the highest standards of integrity whether they are employees, researchers, or students of the University, and irrespective of the source from which their posts or research is funded, whether this is internal or external to the University. These standards are also expected of those engaged in the setting of research priorities, and in the assessment of research.

The Committee on Standards in Public Life (CSPL) of the United Kingdom Government, which was set up to make recommendations 'to ensure that the highest standards are maintained, and seen to be maintained' in key areas of public life identified higher education as one of these areas. The seven principles it articulated have relevance to best practice in the conduct of research – selflessness, integrity, objectivity, accountability, openness, honesty, and leadership.

The Code is intended for:
- Academics, researchers and relevant administrators employed by the University and other individuals carrying out research at or on behalf of the University;
- Students and their supervisors;
- Any persons with honorary positions conducting research within or on behalf of the University;
- Individuals involved in the peer review of the research process.

2. CODE OF PRACTICE FOR RESEARCH MANAGEMENT PRINCIPLES

2.1 Ethical and Legal

Researchers may participate only in work that conforms to accepted ethical standards. In the case of work which is put in the public domain, they may only participate in research which they are competent to perform. They must be aware of, and adhere to, ethical principles of veracity, respect for people and their privacy, and the avoidance of harm. Researchers must comply with the The Electronic Communications and Transactions Act No. 21 of 2009 ('the ECT Act'), The Information and Communications Technologies Act No. 15 of 2009 ('the ICT Act), and with the appropriate codes of practice issued by their professional association. In the absence of an appropriate professional code, researchers should use the published University Ethics Policy, guidelines and procedures.

Where research procedures are of a kind requiring approval by the School Ethics Committee, or by other safety or regulatory committees, research must not proceed without such approval.

2.2 Accountability

Researchers and, in particular, those named as principal investigators or grant-holders must ensure that the research they are undertaking is consistent with the terms and conditions defined by the sponsoring organisation (or covered by agreements between the University and the sponsor). This includes, but is not limited to, ensuring that the research programme carried out adheres to that defined in the original proposal to the sponsor, unless amendments have been agreed in writing; that finance is used solely for the purpose for which it was intended; that reports are accurate and timely; and that conditions relating to publication and to ownership of Intellectual Property are followed.

2.3 Honesty

Researchers have an obligation to achieve and maintain the highest standards of intellectual honesty in the conduct of their research. 'This applies to the whole range of research including experimental design, generating and analyzing data, publishing results, and acknowledging the direct and indirect contributions of colleagues, collaborators, and others'.

2.4 Openness

While recognizing the need for researchers to protect their own research interests in the process of planning their research and obtaining results, the University encourages researchers to be as open as possible in discussing their work with other researchers and the public. This is subject to exceptions in respect of Data Protection and Intellectual Property as stated in **2.7** below. Wherever possible, researchers should:

- Make colleagues aware of research in which they are engaged (to solicit interest and feedback) and their publications;

- Make colleagues aware of research funding bids in preparation both to inform and also to avoid internal competition for such funding;
- Inform colleagues of completion of projects and publications arising from them**.**

2.5 Accessibility

Researchers have an obligation to keep records and data is such a way as to facilitate the verification of the research by other researchers or future research (see **3.2** below).

2.6 Scrutiny

Subject to the principles of confidentiality (see **2.7** below), research results and methods should be open to scrutiny by colleagues within the University and after publication by other academics and professionals.

2.7 Confidentiality

Data Protection and Privacy

If data of a confidential nature are obtained (for example, from questionnaires or medical records), confidentiality must be observed, and researchers must not use such information for their own personal advantage or that of a third party.

Intellectual Property

Confidentiality may also be necessary for a limited period in the case of contract research, or other research which is under consideration for patent (or design) protection, or for other commercial-in-confidence reasons. Where confidentiality agreements limit publication and discussion, limitations and restrictions must be explicitly stated in the agreement. All researchers should ensure that they are familiar with, and comply at all times with the confidentiality obligations in research contracts.

2.8 Conflicts of Interest

Researchers must be honest about conflict of interest issues whether real, potential, or perceived, when reporting results. Paragraph **3.5** below summarises key issues in the University's *Conflict of Interest Policy* and the procedure to be followed.

2.9 Leadership and Organisation in Research Groups

'The culture and tone of procedures within any organisation must be set by individuals in authority'. Within the University it is the responsibility of the DVC, the Dean of Research and Postgraduate Studies, and the Deans to ensure that a climate is created which allows research to be conducted in accordance with good research practice**.** This includes ensuring that research students are made familiar with this Code at Induction or similar training sessions.

Within a research centre or group, responsibility lies with the centre or group leader. Group or centre leaders must create a research environment of mutual co-operation in which all members of a research centre or group are encouraged to develop their skills and in which the open exchange of ideas is fostered. Research leaders must ensure fairness in the allocation of time and resources among members of their group. They must also ensure that appropriate direction of research, and supervision of research students and mentoring and supervision of new researchers is provided.

When in doubt about good research practice, researchers should seek the assistance of their colleagues or peers or, in cases where they are part of a centre or group, from the centre or group leader.

The principles outlined above apply to the grant application process, the subsequent research process, and the dissemination of the research.

3. CODE OF PRACTICE FOR RESEARCH MANAGEMENT PROCEDURES

3.1 The Grant Application Process
In conformity with the principles of openness, researchers who seek external funding for their research must not put in the same application to several funding organisations simultaneously without advising all the others of this fact.

3.2 Documenting Results and Storing Primary Data

3.2.1 Record Keeping

Throughout their work, researchers are required to keep clear and accurate records of the procedures followed and the results obtained, including interim results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked either about the conduct of the research or the results obtained.

Research data must be recorded in a durable and appropriately referenced form. In cases where transcripts of interviews form the basis of the research, these should be kept as confidential according to Data Protection Act procedures and according to any other professional protocols.

The keeping and maintenance of laboratory notebooks, and other data sources can also help to ensure that Intellectual Property can be protected. (Procedures in respect of such notebooks are given in the Appendix to Guidelines to Intellectual Property).

3.2.2 Data Retention
Sound research procedures often require the discussion of data and research methods with colleagues. Discussion may also occur after the research is complete often because of interest following publication. Appropriate storage and retrieval of research data is a requirement of the University and of several of the sources of external funding. Researchers should confirm these requirements with the funding source at the start of the research programme and a written statement regarding data storage should be included in the paperwork for the project. The means of data storage (paper, disks, CD-ROM, etc) should be appropriate to the task.

It is the responsibility of each School or Research Centre to establish procedures appropriate to its needs for the retention of data and for the keeping of records of data held. Dean of Research and Postgraduate Studies should ensure that their Schools and the Research Centres alligned to them have appropriate procedures in place and adhere to them. Data must be kept in a way that reference to them by third parties can occur, except where confidentiality applies (either because (1) the data is personal and confidentiality undertakings have been given to the data subjects, or because (2) Intellectual Property confidentiality agreements are in place).

A copy of the original data should be retained in the School or Research Centre in which they were generated. Individual researchers must be able to hold copies of the data they generated for personal use. Retention of data solely by the individual researcher is not regarded as good practice. Researchers who leave the University within a period of 5 years of the collection of the data should ensure that the School or Research Centre where the data were generated retains a copy. Data obtained from a limited-access database or in a contracted project may not be able to be retained. In such cases, a written indication of the location of the original data, or key information the limited-access database from which it was extracted must be kept in the School or Research Centre.

The appropriate period for retaining data depends on circumstances, and the nature of the data. In some fields, importance and relevance can be superseded very rapidly. However, data should be held for sufficient time for reference to be made to them. For data that are published, retention may be as long as interest and discussion persist following publication. As a general rule, the minimum period for retention is 5 years from the date of publication. For certain types of research funded by the Research Councils, the period is 10 years following the completion of the research project. For externally-funded research, the researcher should always check the retention requirements with the funding body if these are not given. In a group project, guidance on appropriate timescales is the responsibility of the project leader, and should be confirmed in writing at the start of the project.

3.3 Authorship
Different views of relative contributions can be held sincerely by contributors leading at times to disagreements on who should be the authors and/or the order in which they are listed. The

question of authorship should be discussed at the earliest possible stage in a research project and reviewed whenever there are changes in participation.

The minimum requirement for authorship of a publication is substantial participation in conceiving, executing or interpreting at least part of the research reported. Authorship will normally include additionally drafting the article or revising it critically for intellectual content. An author's role in the research output must have been sufficient to take public responsibility for at least that part of the output in that person's area of expertise. General supervision of a research group or the collection of data do not justify authorship.

All persons include academic staff, students, research assistants, and others, who have made a substantial contribution to the research as defined above leading to a publication (including an electronic publication) must be given the opportunity to be included as an author of a publication deriving from that research. No person who qualifies as an author may be excluded as an author without his or her permission in writing. All co-authors of a publication must acknowledge their authorship in writing in accordance with the minimum requirement above. The signed Statement of Authorship must specify that the signatories are the only authors according to this definition. It must state that the signatories have seen the version of the paper submitted for publication.

Every author must ensure that others who have contributed to the research work are properly recognised, for example, those who have collected data. Postgraduate students (Masters / Ph.D) in particular are often relatively inexperienced in research and the allocation of authorship. Thus, where they are to be involved in a research project, postgraduate students should be provided with a written statement at the commencement of the project outlining the nature and proposed recognition of their contribution. Where this is not possible, the statement should include a reasonable time frame within which the situation will be clarified. Where there is more than one author, one co-author (by agreement among the authors) should be nominated as executive author for the whole research output, and should take responsibility for record-keeping regarding the research output.

The named authors of the publication must read the final paper and sign a statement indicating that each of them has met the minimum requirements of authorship and name the author taking overall responsibility for the publication. Such a statement must indicate that there are no other authors of the publication. If, for any reason, one or more co-authors are unable to sign the statement, the Dean of Research and Postgraduate Studies or the Dean of School may sign on their behalf, noting the reason for their unavailability. This statement should accompany the work to the publishers and a copy should be retained in the School or Research Centre.

In the event of a dispute about authorship, or conflict between authors, the matter should be brought to the attention of the Deputy Vice-Chancellor.

3.4 Publication and Other Public Reporting of Research Findings

It is the University policy that research results be published wherever possible. This is a necessary adjunct to making research results available to the public. Publication should be in a form appropriate to the discipline in which the research is carried out, and it should include peer review.

As a general rule, research findings should not be reported in the public media before they have been reported to a research audience of experts in the field, preferably by publication in peer-reviewed journals. If research is placed in the public domain before peer-review has been undertaken, the researcher and the University must make this clear in any publicity.

Where there is private reporting of research that has not been exposed to open peer-review scrutiny, especially when it is reported to prospective financial supporters, researchers have an obligation to explain fully the status of the work and the peer-review mechanisms to which it will be subjected.

Publications must include information on the sources of financial support for the research. Financial sponsorship that is not declared may invite the presumption that a conflict of interest exists. Funding arrangements that require an embargo on the naming of a sponsor should be avoided.

The contributions of formal collaborators and all others who have directly assisted, or indirectly supported, the research should be properly acknowledged.

Delays in publication should be avoided except where proprietary information is at issue, as for example, where it is proposed to file a patent or a registered design. Staff should be aware that, according to the University's Intellectual Property Policy, many forms of Intellectual Property such as patents, designs, and software that they develop in the course of their employment and/or using University resources belong to the University. In all cases where the University is the owner, they are bound by University decisions in respect of publications. In cases where the research has an external sponsor, the University acknowledges the legitimate interests of the sponsor in securing protection for developments made in the course of research. University staff and research students working on sponsored research must ensure that they adhere to the terms of the sponsor's contract in respect of publication and its timing.

Staff should also be aware that there is an implicit term in their contracts according to which they are required to act in good faith towards the University. Great care should be taken in publishing material that is critical of the University or that may damage its interests.

3.5 Conflict of Interest

Research activities must be conducted in an objective manner, free from any potential for undue influence arising from the interests of those responsible for the conduct of the research. Researchers have an obligation to disclose any affiliation with, or financial involvement in, any organisation or entity with a direct interest in the subject matter of the research or in the provision of materials for it. A conflict of interest may also arise if any organisation or entity with a direct interest in the subject matter provides direct benefits to the researchers such as sponsorship of the investigation, or indirect benefits to the researchers such as the provision of materials or facilities, or support of the researchers such as provision of travel or accommodation expenses to attend conferences.

Conflicts of interest can also occur in cases where a researcher (or their spouse or dependent) has a financial interest (equity, directorship, consultancy) in the funding agency being paid from the grant fund, or where the terms of a new grant from a funding body require disclosure of project data from a related project and the terms of the related project grant prevent that disclosure (see paragraph 2 in **3.2.2** above).

Researchers must advise by Dean of Research and Postgraduate Studies of any potential or actual conflict of interest before embarking on the research. This should be done by completion of a Disclosure of Potential Conflict of Interest form which should be sent to the Dean of Research and Postgraduate Studies who will then decide, normally in consultation with the Dean of School, whether a conflict of interest exists.

If a conflict of interest is considered to exist, the Dean of Research and Postgraduate Studies must refer the matter to the Deputy Vice-Chancellor. Research who will determine what further action to take. That action may include consultation with the researcher, and may also involve consultation with the funding body, or other bodies, to ensure that the conflict of interest does not compromise the research, or the University's interests. In some circumstances, it may be necessary to disclose the conflict of interest to the funding body, or the editors of journals, or the readers of published work arising from the research. In some circumstances, it may be necessary to reject, or terminate, a research project.

4. ROLES AND RESPONSIBILITIES IN RESEARCH ADMINISTRATION

All grant and contract proposals must be approved by the University before submission to the sponsor. At MOSA, proposals must be endorsed by the Dean – Office of Research / Principal Investigator.

4.1. FACULTY RESEARCH ROLES AND RESPONSIBILITIES

Faculty have the freedom to choose the nature and direction of their research program and to disseminate the results of that research to the public, within any constraints placed by the funding agency. Non-PI faculty have similar responsibilities to the PI, with the exception of overall responsibility for project direction and reporting. Collaborating investigators must:

- Ensure that their expenditures are in accordance with sponsor and university regulations, policies, and procedures

- Coordinate with the PI any approvals for restricted expenditures (e.g., equipment)

- Maintain knowledge of and compliance with University procedures related to sponsored research

- Disclose financial conflicts of interest to the PI

- Obtain and maintain applicable ethical committee approvals before initiating a research project

- Disclose prior disbarment/suspension or proposed disbarment

- Verify that their project staff have signed University Patent Agreements

Faculty conducting human subjects research should also refer to the section below on the roles/responsibilities of clinical research coordinators.

4.2. TRAINEE RESEARCH ROLES AND RESPONSIBILITIES

Graduate/Post graduate / research scholar must:

- Seek and follow faculty guidance on scientific and other procedures (e.g., allowable uses of grant funds)

- Maintain knowledge of and compliance with University procedures and policies related to sponsored research

- Disclose financial conflicts of interest to the PI

- Obtain applicable training in and practice responsible conduct of research

- Obtain applicable ethical committee approvals/training

4.3. CLINICAL RESEARCH COORDINATOR RESEARCH ROLES AND RESPONSIBILITIES

- Manage all aspects of conducting clinical trials under the direction of the PI

- Maintain in-depth knowledge of protocol requirements and Good Clinical Practice (GCP) as set described in National regulation

- Provide sound conduct of the clinical trial (including recruitment, screening, enrollment, and follow-up of eligible subjects per protocol)

- Maintain accurate and complete documentation (e.g., regulatory documents, signed consent forms, IRB approvals, source documents, drug dispensing and subject logs, and study-related communication)

- Provide organizational management of all aspects of the trial (e.g., timeliness in completing case report forms, data entry, reporting adverse drug experiences [ADEs], and managing caseload and study files)

- Communicate protocol-related problems to the management staff (e.g., questions regarding the conduct of the clinical trial, possible ADEs, or subject compliance)

- Maintain professional conduct in the presence of subjects, research staff, sponsors, monitors, auditors, etc.

4.4. SCHOOL / DEPARTMENT RESEARCH ADMINISTRATOR RESEARCH ROLES AND RESPONSIBILITIES

*adapted from the Sponsored Programs web site

- Support project investigators in the development of proposals and related financial narratives and budgets

- Thoroughly understand unallowable, direct, and facilities and administrative (F&A) costs.

- Thoroughly understand and properly follow Cost Accounting Standards

- Show consistency in charging sponsored award costs

- Ensure monthly review of project costs and obtain PI approval of same in a timely manner.