



KIM UNIVERSITY

RESEARCH & INNOVATION POLICY

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PREAMBLE

This research and innovation policy document provides guidelines for the incorporation of research and innovation activities into the University's mainstream as core business. It also provides for a conducive environment that motivates staff and students to undertake competitive and sustainable research work at the national regional and international levels. This policy document is also an operating tool for patenting and commercializing research findings. It provides needed regulations for research and consultancy services within the University aimed at mobilizing and growing the resource base.

Aim

The aim of the research and innovation policy is to assure quality and to provide the framework for research and innovation and research and innovation management at North-West University.

Scope

This policy should be read against the mission of KIM University to produce high-quality, relevant and focused research, basic as well as applied, supplying innovative solutions to challenges faced by the scholarly community, the country, the continent and the world.

Policy Statement

It is the policy of KIM University to promote research and innovation for the economic development of the country, the continent and the world.

Rules

The rules guiding research and innovation are defined within the following categories:

Research and Innovation Governance

The KIM University Board governs and approves research and innovation policies. The KIM University Senate governs academic quality.

Research and Innovation Strategy

The Deputy Vice-Chancellor Innovation, Research, & Development assumes the overall responsibility for the policy and strategy of Research and Innovation at the University. The Director of Research assumes the overall responsibility for the management of research and innovation at the campus.

Research and innovation Management

Research is managed according to the guidelines set in the Institutional Research and Innovation Strategy.

Research and innovation is funded in accordance with the Institutional Research and Innovation Strategy.

Procedures

KIM University will ensure the provision of effective, efficient and equitable support for researchers, through the Research management structures. The overall process for research and innovation is captured in the quality assurance policy document at KIM University.

Quality Policy Statement

At KIM University, we believe that the student is the most valuable person around us. To better satisfy students and interested parties, KIM University will continue to offer quality academic and professional programs that are responsive to the market needs and expectations of the society.

At KIM University, we believe in being “*satisfied with nothing but the best*” and are committed to meet requirements of our stakeholders. In pursuit of this commitment, the Quality Management System of the University shall always meet the requirements of the ISO 9001:2015 and will be continually improved.

Definition of Terms

Academic year	Means a period of twelve calendar months ending on such dates as may be designated from time to time by senate, provided, however, that senate designate different dates or different periods of more or less than 12 months for different purposes
Academic Staff	Means Professors, Associate Professors, Senior Lecturers, Lecturers, Assistant Lecturers and such other persons in the employment of the University engaged in teaching or research
Campus Workshop	Means a research workshops mounted in a campus of the University
Vice Chancellor	Means the Vice Chancellor of KIM University
Collaborative/Joint Research	Means research jointly undertaken with sister universities under a memorandum of understanding.
Commercialization of Research Products	Means the transfer of research findings into utilizable form.
Board	Means the KIM University Board of Directors
Counterpart Funds	Means matching funds needed to enable the partner to release an equivalent amount for a project
Deputy Vice Chancellor	Means the Deputy Vice Chancellor Innovation Research & Development
Evaluation	Means assessment as per laid down terms and conditions
Facilitation	Means intended support towards achieving a given task or assignment

Inaugural Lectures	Means professorial lecture delivered by a professor upon appointment to a level of professor
Innovation Award	Means an award by the Institute for innovations or inventions, products or processes that meet excellent transfer of technology in the area of specialization.
Intellectual Property	Means creations of human minds
Misconduct	Means research plagiarism, fabrication and falsification of research and research products and processes leading to misappropriation or conversion of research resources and findings.
Multidisciplinary	Means joint research undertaken by consortium of experts across disciplines
Outreach	Means the transfer of resources and services/products of the University to the community
Public Lecture	Means a lecture delivered by a prominent or eminent person to the members of University & surrounding community
Publication Award	Means the award given by the Institute to members of staff for the publication in refereed journals
Refereed Journal	Means papers published and approved by peers
Research & Innovation Fund	Means the fund set aside by the University Board for purposes of research and innovation.
Research Grant Award	Means grants awarded through KIM University Research & Innovation Fund and competitively applied for by staff and students
Senate	Means the KIM University Senate
Technology Transfer	Means the dissemination of scientific knowledge.

List of Abbreviations and Acronyms

ARG	Annual Research Grant
DVC AA	Deputy Vice Chancellor Academic Affairs
DVC IRD	Deputy Vice Chancellor Innovation Research & Development
IRD	Innovation, Research & Development Division
KUIPP	KIM University Intellectual Property Policy
IPR	Intellectual Property Rights
URIF	University Research & Innovation Fund
VC	Vice Chancellor

1.0 INTRODUCTION

In December 2015, the then Kigali Institute of Management (KIM) became KIM University and has since embarked on a robust rebranding drive. KIM University's rebranding seeks to draw new leverages from the education industry in Rwanda, the greater African region, and worldwide.

As part of its rebranding drive, KIM has reviewed its existing structures in order to facilitate its transformation strategy. A new executive division office of Innovation, Research and Development under the strategic leadership of the Deputy Vice-Chancellor Innovation, Research and Development (DVC IRD) was approved by the KIM University Board and is now operational.

KIM University is governed by the Board of Directors which has oversight responsibility for the overall policy, human and financial resources, and physical establishment. The Management Committee manages the daily operations at the University.

2.0 KIM UNIVERSITY STRATEGIC INTENT

2.1 Vision

We aspire to be recognized widely as the premier university providing exemplary programs which integrate academic excellence with professional competence to achieve socio-economic transformation.

2.2 Mission Statement

Our mission is to educate and nurture talented and motivated men and women - through quality undergraduate, graduate and professional executive education programs - to become successful, creative and innovative professionals and enable them excel in their chosen professions and to lead rewarding lives.

2.3 Philosophy

KIM undertakes the development of a wholesome and well-rounded person that easily fits into civil, business, management and economic communities with effective, focused and visionary contributions.

In line with the vision and mission KIM offers education and training that is aimed at reducing poverty through self-reliance, reducing inequality and improvement of human life.

2.4 Core Objectives

In addition to achieving distinctive mastery of the core knowledge and skills in their respective fields, our programs aim to:

- Provide a unique educational experience that is directed toward developing the whole person
- Nurture exceptional talents among our students to make them more effective professionals
- Provide Innovative programs and foster market-led research among staff and students that aim at offering effective solutions to socio-economic problems

2.5 Core Values

KIM is committed to these core values, which guide us in carrying out our mission and realizing our vision:

Excellence: We seek uncompromising standard of excellence, in teaching and, learning, creativity, and research within and across disciplines and in service to our students and our stakeholders.

Engaged learning: We strive to integrate academic reflection with real-life experience from the community, industry to enshrine our students with hands-on market relevant skills and competencies

Commitment: We endeavour to educate the whole person, nurture and challenge students intellectually, socially, spiritually, morally and aesthetically, preparing them assume leadership in their professional, civic and personal lives

Creativity: Our programs are designed to enable students solve real-world; open-handed problems with creativity and risk-taking to obtain solutions that are relevant, practical and sustainable.

Service to Other: We promote a culture of service to and among our students and staff, and the society in general as we work with all our partners to build a caring society.

3.0 KEY ORIENTATIONS OF THE IRD DIVISION

3.1 Vision

To enable the transformation of KIM University into a leading institution of innovation-driven research, business and enterprise

3.2 Mission Statement

To be KIM University's engine of growth, change, development and transformation through fostering, supporting, and promoting a dynamic creative and innovative organizational environment, innovation-driven and industry-targeted research, strategic partnerships and outreach alliances

3.3 Core Values

The Division is committed to and guided by the following core values:

Excellence: *We strive for and seek to maintain the highest standards of excellence in all our functions, processes and activities.*

Quality: *We seek value addition and comply in all our functions, processes and activities with quality management standards and requirements.*

Empowerment through Outreach: *We promote the provision of skills to those that are socially and economically disadvantaged.*

Teamwork: *We cooperate as a team and uphold teamwork in the implementation of all our functions, processes and activities.*

4.0 THE DIRECTORATE OF RESEARCH

The Directorate of Research is headed by a Director who is nominated by the Vice Chancellor and appointed by the Board on a competitive basis. The function of the Director of Research is to:

- a) Coordinate the University's research and innovation strategy and activities under the direction of the DVC IRD
- b) Maintain and update the University's research database
- c) Scrutinize national government and provincial tender bulletins for research contracts and inform the University research community through internal memos, notices and such other media.
- d) Seek consultancy and contracts related to research and research product development
- e) Liaise with the Directorate of Marketing to communicate and publicise University research activities.
- f) Identify international research funding opportunities such as those arising from bilateral and multilateral agreements, and alert the University research community accordingly.
- g) Undertake any other University research activities as directed by the DVC IRD.

5.0 KIM STRATEGIC RESEARCH GOALS

5.1 Goal 1: Benchmark with best practice in teaching through integration with innovation-driven research

5.1.1 Strategies

- ✓ Continuous training and mentoring of staff in innovation-driven research
- ✓ Expansion of PhD student community
- ✓ Recruitment of high-profile innovative researchers
- ✓ Creation of database on research at KIM University
- ✓ Publication and dissemination of research findings at Kim University

5.1.2 Action Steps

- ✓ Institute an annual calendar of training and refresher workshops on innovation-driven research
- ✓ Mainstream innovative research activity and outputs as a key performance indicators in the annual staff performance appraisals for academic staff and academic departments
- ✓ Institutionalize mentoring of staff in research
- ✓ Create critical mass of academics pursuing PhD Programmes in innovative research areas
- ✓ Create, maintain and regularly update databases of all undergraduate, graduate, staff and organizational researches
- ✓ Publicize findings of innovative researches conducted at the University
- ✓ Put in place and operationalise a recognition and rewards system for innovative researchers from among the students and staff
- ✓ Introduce and implement monitoring and evaluation mechanisms to measure results and assess impact of integration of research and training at KIM University

5.2 Goal 2: Develop centres of research and entrepreneurial business within the University based upon engagement and participation with the Division of Innovation, Research and Development

5.2.1 Strategies

- ✓ Closely engage identified stakeholder groups in consultations on innovative ways of identifying business and entrepreneurial opportunities
- ✓ Support and promote start-up ventures
- ✓ Develop proposals to establish centers of research and development at KIM University

5.2.2 Action Steps

Establish and operationalise the following centres:

Centre for Innovation, Entrepreneurship and Business Incubation:

The aim of this center shall be to identify and harness innovative ideas from the students, enable them to turn them into viable business models and plans.

Centre for Wealth Creation and Development:

Aim: To create a research center for wealth creation, using new and innovative economic metrics and, thereby, aspire to regional leadership at the center of regional and global discourse on policy reformulation of economic development

Centre for Gender, Leadership and Business

Aim: To empower KIM University's female graduates to promote women's entrepreneurial initiatives and assume their role in society as creative, innovative and productive business entrepreneurs.

Centre for Community Services and Outreach

Aim: To not only provide a forum for KIM University students to leverage their knowledge and skills for the benefit of communities but also offer our students a platform for experiential learning, leads to new and innovative insights into proposing practical solutions to contemporary socio-economic challenges.

5.3 Goal 3: To grow, extend and consolidate relationships with business and industry by developing research and entrepreneurial partnerships and collaborations

5.3.1 Strategies

- ✓ Foster sustained relationship management with partners in business and industry
- ✓ Enter into strategic partnerships and alliances with business and industry

5.3.2 Action Steps

- ✓ Establish Business Development Office at KIM University
- ✓ Recruit a Business Development Manager
- ✓ Enter into MoUs with partners in business and industry
- ✓ Create, maintain and update database of partners in business and industry
- ✓ Source for professional specialists to teach, coach and mentor students
- ✓ Partner with business and industry to position KIM University's role in research and training in corporate governance
- ✓ Obtain work placement opportunities with partners in business and industry for innovative student researchers
- ✓ Seek funding from partners in business and industry for innovation-driven research and entrepreneurial activities
- ✓ Provide consultancy expertise in support of the research and development initiatives of partners in business and industry

5.4 Goal 4: Facilitate inter-university collaboration within Rwanda and across the East African region, and internationally

5.4.1 Strategies

- ✓ Promote and sustain a positive regional and international image of KIM University
- ✓ Leverage KIM University's research profile through regional and international collaboration
- ✓ Strengthen KIM University's resource base through concerted bids for funding

5.4.2 Action Steps

- ✓ Enter into MoUs with universities at the cutting edge of innovation-driven research in the region and globally
- ✓ Develop, conduct and jointly collaborative graduate degree programmes
- ✓ Jointly design, develop offer a market-driven and innovative menu of performance improvement and executive courses programmes targeting strategic managers at the regional and international levels
- ✓ Jointly conduct innovative research to influence and determine policy for socio-economic transformation
- ✓ Jointly undertake resource mobilization for conducting innovative research

6.0 THE UNIVERSITY RESEARCH & INNOVATION FUND (URIF)

The KIM University Board recognizes that research is a core business of the University, and shall therefore establish the university research and innovation fund (URIF). A defined proportion of University's revenue for research activities, to be determined from time to time, will be allocated.

The URIF shall be disbursed for various research & innovation activities within the University that conform to the following hallmarks of the University's research brand:

- Alignment with Rwanda's national strategy
- Innovation-driven and entrepreneurial
- Relevance to business and industry
- High regional impact
- Ethically-grounded and socially-accountable
- Empowering of the communities
- Supportive of and promoting diversity, equity and inclusion

6.1 Sources of the URIF

The sources of funds for the URIF shall include the following:

- a) Financial allocation by KIM University Board: which shall comprise a minimum of 5% of Institute revenue from tuition, and other funds, less recurrent expenditure
- b) A minimum of 25% of the 10% administrative retention fees charged on all research grants
- c) Conference registration fees
- d) The research component of the KIM University Endowment Fund
- e) Research grants from Chairs – grants from outside foundations brought into the institute by researchers.
- f) Proceeds from commercialized intellectual property as defined in the KIM University Intellectual Property Policy.
- g) Proceeds from consultancy.

6.2 Allocation of the URIF

The URIF shall be used to support the activities listed below:

- Annual Research Grant (ARG)
- KIM University Annual International Conference
- Outreach and Extension Fund

- Inaugural Lectures
- Minor Equipment Maintenance and Repair
- Fostering Research & Industrial Collaborations
- Campus Wide Research Workshops
- Public Lectures
- KIM University Awards
- Facilitations
- Office operations
- Intellectual Property Protection

The proportions of the Fund to be disbursed to any of the above activities will be determined by the Senate and approved by the Board from time to time.

6.3 Uses of the ARG

The ARG shall be used for:

- a) Training junior academic staff (who for the purpose of this Policy shall be Tutorial Assistants and Junior Research Fellows) to develop competitive research skills through seminars, workshops, conferences, and mentoring
- b) Funding competitive research within the University
- c) Financing refereed journals within the University

6.4 Funding Competitive Research within the University

Grants shall normally be awarded twice a year to competitive research proposals in each School and administration. The research grants will ordinarily be for a one-year period, and will be awarded in two categories: (a) Junior Research Grants and (b) Senior Research Grants.

The evaluation of the research proposals will be guided by some or all of the following principles:

- a) Contribution to fulfilling KIM vision and mission.
- b) Originality;
- c) Potential to generate new knowledge and/or innovative products;
- d) Involvement of students;
- e) Multidisciplinary approach to solving stated problems;
- f) Potential to leverage funding from external sources;
- g) Gender equity

6.5 Support to KIM University Based Refereed Journals

KIM will support refereed journals in Schools to publish and disseminate research findings.

6.6 Funding KIM University Annual International Conferences

The KIM University Annual International Conference shall be organized annually for the purpose of disseminating research findings from within and outside the institute.

The IRD Division shall constitute a committee to organize the Annual International Conference.

The Committee shall propose conference dates, themes, and budget, which will be submitted for consideration and approval.

6.7 Extension and Outreach Fund

The Fund shall be used to support activities for the dissemination of research findings, services and products for community development and developing partnerships with industry to enhance research and extension networks.

The administration of this fund shall be guided by the relevant procedural guidelines.

6.8 Inaugural Lectures

Inaugural lectures shall normally be supported by funds provided by the URIF. Disbursement of such funds shall be guided by the relevant procedural guidelines.

6.9 Fostering Research and Industrial Collaborations

KIM University shall encourage collaborative and mutually beneficial research with the private sector and public institutions. Such research shall aim at collaboratively creating new knowledge, products and processes. The ownership and use of products and processes so created shall be subject to the specific research contracts and the relevant provisions of the KUIPP.

This component of the URIF shall be used to explore means of increased collaboration in research and/or training.

6.10 Campus Wide Research Workshops

Campus Research Workshops to enhance competence in research shall be carried out annually to sensitize the young, and update seasoned scholars to the need for continued research in their specializations.

Resource people shall be invited from within the Institute or from other institutions to carry out the training.

Proceedings shall be published and made available to researchers.

Training themes shall vary from year to year with contribution from all members of the Institute.

6.11 Public Lectures

The committee responsible for Research and Extension shall spearhead public lectures from renowned researchers, experts in various fields, and heads of national or international organizations for the purpose of revitalizing or establishing links with other institutions.

6.12 Facilitation

This component of the URIF shall be used to reward resource persons and committee members.

7.0 AWARDS

7.1 Research Awards

The KIM University Research Awards will be conferred annually to deserving staff by the Rector.

The relevant Senate Committee will provide guidelines on the criteria and mode of nomination.

7.2 Innovations Award

The innovations and inventions award shall be conferred on a staff member who will have developed an innovation, or invented products or processes, or achieved excellent transfer of technology and/or knowledge in their area of specialization in the preceding year. The type and cost of the award shall be determined by the Board from time to time.

7.3 Publications Award

The publications award will be given to a staff member who will have published the largest number of quality learned papers in reputable international journals, and/or books in their areas of specialization in the preceding year. The type and cost of the award shall be determined by the Board from time to time.

7.4 Research Grants Award

The Research Grants Award shall be conferred on a staff member who would have attracted the largest amount of external research grants in the previous year. The type and cost of the award shall be determined by the Board from time to time.

8.0 FUNDING FROM EXTERNAL SOURCES

For the purpose of this policy, funding from external sources shall include both cash grants and material donations, such as equipment. The University shall encourage research funding from external sources to supplement the internal funding. The University shall recognize the attraction of external funds and reward such researchers who so attract such funding with a token sum to be determined and approved by the Board from time to time.

Any external grant will be expended as specified in the contract between the donor, the grantee, and the University.

8.1 Counterpart Funds

Where an external partner requires Institute contribution, and/or imposes other conditions with financial implications for a researcher to receive external funding, the Principal Investigator shall submit a proposal to the appropriate Senate committee for consideration. The committee shall then make appropriate recommendations to Senate.

9.0 ADMINISTRATION OF RESEARCH GRANTS

The administration of research grants will follow procedural guidelines as developed and implemented by the IRD Division.

10.0 MAINTENANCE OF RESEARCH RECORDS

The IRD Division shall establish and maintain an up-to-date electronic and printed database of all research findings in the Institute. Such database shall be made up of abstracts of reports and other publications arising from research.

The DVC IRD shall forward copies of the reports to the University library. All research records shall be maintained and handled in accordance with the relevant provisions in the KIM University Intellectual Property Policy (KUIPP).

11.0 PUBLICATION OF ANNUAL RESEARCH REPORTS

The IRD Division shall annually publish a record of all research activities in the University for the preceding year in electronic and print forms. The details of research findings in the records shall conform to intellectual property protection provisions in KUIPP.

12.0 ACCESS AND USE OF RESEARCH DATABASE

The research database will be available for use by members of the University for Purposes of research and teaching. However reproduction of such materials shall be done only on the authority of the author(s) and /or the University Librarian in consultation with the Technology Transfer Office. The person requesting such reproduction shall normally meet its full cost.

Access to the research database of the University shall be governed by copyright and intellectual property protection provisions in the KUIPP.

13.0 INTELLECTUAL PROPERTY RIGHTS

The University shall pursue copyright and other intellectual property protection for all its research findings under the relevant laws and in accordance with the KUIPP.

14.0 MISCONDUCT IN RESEARCH

KIM University shall promote honesty, trust and openness in research and collaboration with partners. This will improve the quality and quantity of research and protect the reputation of researchers, the Institute and the collaborating partners.

For the purposes of this policy, misconduct in research is defined to include plagiarism, fabrication and falsification of research and research products and misappropriation or conversion of research resources. All alleged cases of misconduct in research will be investigated and disciplinary measures taken when proven. Misconduct will not include honest error or honest differences in interpretation or judgment of data.

15.0 CONFLICT OF INTEREST

KIM University researchers are discouraged from relationships which constitute a conflict of interest or a conflict of commitment. For the purposes of this policy, conflict of interest shall occur when a Institute researcher has an undisclosed research relationship with an external agency that requires a commitment of time, effort or resources to non-institute activities such that:

- (i) The researcher cannot meet their usual obligations to the University
- (ii) The researcher makes decisions that are injurious to University's interests or those of its partners.

Cases of conflict of interest in research shall be considered and dealt with as misconduct in research.

16.0 OWNERSHIP OF INVENTIONS AND/OR INNOVATIONS

Ownership of research inventions, innovations, products and processes from the Institute research shall be governed by relevant provisions of the KUIPP.

17.0 SHARING INCOMES FROM INVENTIONS AND/OR INNOVATIONS

Sharing of any incomes arising from inventions and innovations from Institute research shall be governed by the relevant provisions of the KUIPP.