

Research Endowment Policy

2008



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Moi University

MU/OP/DVC(R&E)/055-Procedure for Developing of Quality University Policies

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Foreword

This policy document is the outcome of an intensive painstaking process, which was facilitated by commendable team work involving staff of Moi University. We acknowledge with a lot of appreciation the support given to us by the University Council, Senate and Moi university Management. We appreciate the leadership of our Vice Chancellor, Prof. Richard K. Mibey. The Moi University fraternity is recognized for their input and active participation during the whole process. Special gratitude goes to all groups, individuals, committee members who contributed to the completion and production of this policy. It is our sincere hope and trust that the policy will guide all members of Moi University community in soliciting donor funding and invest the same in income generating ventures and in so doing help the University achieve its vision of nurturing innovations and talents in Science, Technology and Development. Thus, creating a conducive work and learning environment. The innovations, talents and partnerships with government and the private sector should contribute to the betterment of the society.



PROF. B. E. L. WISHITEMI
DEPUTY VICE CHANCELLOR
RESEARCH AND EXTENSION

Executive Summary

Moi University is a public university established in 1984. The Government of Kenya provides the bulk of the funds to run academic programmes and research at the University. However, the rapid growth in the population of students, teaching staff and research staff has made the funds received from the government grossly inadequate. It has therefore become necessary to solicit additional funds from other sources to support general or specialized training, research and teaching. The Research Endowment Fund is intended to solicit funds from donors to be used to finance research projects of interest to the University or any of its functional units. A Board of Trustees exercises oversight over the management of Fund. The board comprises of the Chairperson of Council, the Vice-chancellor, the officer in charge of research and extension, and renowned persons/entities able to attract funding and other development partners. The Moi University Chancellor shall be an ex officio member The Board is responsible for soliciting donations to the fund, receiving donations on basis of contractual agreements, keeping a permanent record of such donations and contracts, and overseeing the management of the Fund as a Board or through assignees.

The programmes to be supported shall include, but not limited to, student scholarships, research projects, grants for workshops, conferences and such learned gatherings, and emoluments for Research Endowment Fund activities. Award from the Research Endowment Fund shall be made on merit, bearing in mind the contractual agreements entered between the donors and the Endowment Fund Board of Trustees. The Moi University Research policy and Moi University Intellectual Property Policy shall govern termination of awards. The Board shall advertise six (6) months in advance the types of awards that shall be supported for that year and invite applications as appropriate.

Definition Of Terms

Academic Year	Means a period of twelve calendar months ending on such date as may be designated from time to time by senate, provided, however, that senate may designate different dates and different periods of more or less than twelve months for different purposes.
Applicant	Means a person who applies for the funds
Awardee	Means the recipient of an award
Bequests	Means the act of receiving property by will
Board of Trustee	Means a group of persons appointed to manage affairs of the fund
Corporate body	Means the legal entity created pursuant to state law to serve the purposes set out in its corporation
Donations	Means gifts or contribution to the institution
Emoluments	Means gains from a position fee or exertion
Endower	Means one who endows
Endowments	Means any gifts or bequest that provides an income for the institution
<i>Ex-officio</i> Members	Means persons in a committee/board by virtue of their positions or offices
Faculty Research	Means an employee of a university who undertakes Research
Graduate	Means a person on whom a degree has been conferred by the university and includes a member of the convocation of the university

Grants	Means awards given or conferred formally as per the legal procedure
Laws	Means all rules of conduct established and enforced by authority, legislation or state
Moi University Alumni	Means graduates of Moi University and their affiliate or honorary members.
Project Period	Means the duration to accomplish a plan or activity
Publication	Means an issue of printed materials offered for sale or distribution
Research Committee	Means the committee responsible to senate and council on all research in the university
Research Position	Means a vacancy/establishment in research
Research Projects	Means plans or proposals for seeking new knowledge
Research Staff	Means the persons involved in the daily research activity
Seed Money	monies donated to start off
Small equipment	Means those equipment that their value do not exceed KSh.100,000
Technical Annual Report	Yearly documentation of the scientific findings in facts
University Statutes	Means the institutions laws as enacted in accordance with Moi University Act 1984

List of Abbreviations and Acronyms

DVC	- Deputy Vice Chancellor
FRC	- Faculty Research Committee
MUC	- Moi University Council
MUIPP	- Moi University Intellectual Property Policy
MURP	- Moi University Research Policy
REF	- Research Endowment Fund
REFBT	- Research Endowment Fund Board of Trustees
URC	- University Research Committee

1.0 Introduction

Moi University is a public university that, as set out in the Moi University Act, Part II 3(2), is a body corporate with perpetual succession and capable of taking, purchasing or otherwise acquiring, holding, charging and disposing of movable or immovable property. The functions of the University, as set out in Part II 4 (1) include, to provide university education aimed at producing mature and conscientious graduates with skills, and develop and transmit knowledge and skills through research and training. Part III (13) of the Act vests in the University Council general governance of the University, and the right to administer property and funds of the University. This includes reception and disbursement of donations, endowments, gifts, grants or other monies.

The Government of Kenya provides the bulk of the funds to run academic programmes and research at the University. However, the population of undergraduate and postgraduate students, and teaching and research staff, increases over the years, thus putting a great strain on funds received from the government. It is thus necessary to solicit additional funds from other sources, including endowment, to support general or special training programmes, research and special teaching positions.

The Moi University Research Endowment Fund shall provide the additional financing for research and training, within the wider guiding principles of the Moi University Endowment fund. The specific objectives of the Research Endowment Fund shall be:

To solicit for endowment money from donors, Invest the donations in profit-making ventures, Use the profit in financing; research projects of interest to the University

workshops and conferences emoluments for not more than one eminent professor at a time in what shall be termed “Endowment Chair”. A board of trustees that shall be reporting to the Moi University Council shall have oversight over the Research Endowment Fund.

1.1 Vision

To be the University of choice in nurturing innovation and talent in science, technology, and development.

1.2 Mission

To preserve, create and disseminate knowledge and conserve and develop scientific, technological and cultural heritage through quality and relevant teaching and research; to create a conducive working and learning environment; and work with government and private sector for the betterment of society.

1.3 Core Values

- i. Promote and defend academic freedom, scholarship and relentless search for truth.
- ii. Foster teamwork, collaboration, creativity and innovation, effective communication, tolerance, perseverance and a culture of peace.
- iii. Embrace excellence, openness, consultation and consensus building, efficiency and effectiveness.
- iv. Practise professionalism, meritocracy, exemplary leadership, equality, integrity and social justice.
- v. Maintain a sense of self respect, discipline, responsibility, Institutional loyalty and national patriotism.

1.4 Objectives

- i. To pursue excellence in teaching, research and outreach
- ii. To produce well informed, practical, and self-reliant graduates capable of contributing to development in rural and urban areas.
- iii. To produce well informed, practical, and self-reliant graduates capable of contributing to development in rural and urban areas.
- iv. To offer expertise in area of national development.

- v. To promote science and technology for national development.
- vi. To participate fully in the promotion of culture and develop individuals who are responsive to the needs and well being of others.
- vii. To offer a range of opportunities for training through continuing education.
- viii. To secure and manage resources to achieve the above goals efficiently.

1.5 Quality Policy Statement

Moi University is committed to providing quality education and services that meet the needs of its customers and stakeholders through quality and relevant teaching, research and community service and outreach. The University is committed to a quality work and learning environment that is grounded in intellectual and academic freedom, teamwork, quest for excellence, professionalism, discipline and continuous improvement of its products (programmes/activities) and services so as to achieve client/customer satisfaction. To be able to realise this commitment, the University will continually review its products (programmes/activities) and services to conform to the Quality Management Systems based on the ISO 9001 - 2008 Standards.

2.0 Research Endowment Fund

There shall be set up the Moi University Research Endowment Fund, within the wider Moi University Endowment fund.

The Research Endowment Fund shall comprise money permanently donated to Moi University or any of its functional units with the understanding that “the amount of the original gift shall not be spent” but only the income earned each year from its investment shall be used to finance research, conferences, workshops, specialised training and emoluments for the Endowment Chair holder.

3.0 Research Endowment Fund Board of Trustees

There shall be a Board of Trustees to oversee governance of the Research Endowment Fund. The board of trustees shall be answerable to the University council and shall comprise the Chairperson of Council, the Vice chancellor, the officer in charge of Finance, the officer in charge of research and extension, the officer in Charge of academic programmes, five representatives of the University Senate holding positions not lower than full professors and three representatives from the private sector and/or other development partners. The Moi University Chancellor shall be an ex officio member of the Research Endowment Fund Board of Trustees.

The Chairperson of the Moi University Council shall normally be Chairperson of the Research Endowment Fund, subject to the provisions of the Moi University Act, and Moi University Statute XII.

The five representatives of the University Senate shall be elected by secret ballot by members of senate, and shall comprise the five with the highest number of votes. The representatives from the private sector/other development partners shall be nominated by the partners after invitation to do so from, and in consultation with, the University Council.

The representatives of the Moi University Senate and the private sector and/ or other development partners shall serve on the Research Endowment Fund Board of Trustees for a term of five years that may be renewed once only for another five years.

4.0 Functions of the Endowment Fund Board of Trustees and Sourcing Endowments

4.1. Functions of the Board

The Research Endowment Fund Board of Trustees shall, on behalf of Moi University Council, be responsible for soliciting donations to the fund, receiving donations on basis of contractual agreements, keep a permanent record of such donations and contracts, and oversee the

management of the Fund in general, as a Board or through assignees, bearing in mind the specific contractual agreements entered for each of the donations. The mode of soliciting shall include, but not limited, to writing articles and letters and making personal visits.

The Board of Trustees shall establish the Research Endowment Fund management team comprising administrative, finance and ancillary personnel by secondment of officers from the University core staff or employing specific personnel for the fund as the Board may find fit.

4.2. Source of and soliciting for Endowments

The donors to the Fund shall include Moi University, the Moi University alumni, members of the University in the sense of the Moi University Act Part III, private citizens, local corporate bodies, and foreign citizens and corporate bodies.

5.0 Types of Donations for the Research Endowment Fund

The types of endowments envisaged for this Fund shall include:

- i. Seed money to be donated by Moi university
- ii. Money gifts made in the donor's lifetime
- iii. Bequests in wills: to be available to the University only upon the death of the donor.
- iv. Remainder trusts: Donations to be managed by the university for which all or part of the annual income shall be paid back to the donor in life, and the principal sum shall be paid to the Endowment Fund on terms agreed in the contracts.
- v. Contributions in kind, including space, staff and movable property.
- vi. The donations shall be made in lump sum or instalments up to a value agreed in the contract. The relevant laws of the land shall apply when making such donations and contracts. In the case of foreign citizens and corporate bodies, the laws of Kenya, the laws of the nationality of the donor and international laws shall apply in the contractual agreements.

6.0 Disbursement of Awards from the Research Endowment Fund

6.1 Types of programmes to be supported by the Fund

The purpose of the research Endowment Fund shall be to supplement council funding for research, generally or specifically, as each contractual agreement shall dictate. The programmes to be supported shall include, but not limited to, student scholarships, research projects, grants for workshops, conferences and such learned gatherings, and emoluments for Research Endowment Fund Chair holders.

6.2. Application for and award of Research Endowment Funds

Award from the Research Endowment Fund shall be made on merit, bearing in mind the contractual agreements entered between the donors and the Endowment Fund Board of Trustees. The Moi University Research policy and Moi University Intellectual Property Policy shall govern termination of awards.

The Board of Trustees shall cause to be advertised six (6) months in advance the types of awards that shall be supported for that year and invite applications as appropriate.

A.

- a. Applications for graduate or other scholarships shall be submitted to the
- b. Graduate Studies Research and Extension Committee, (GSREC) of Senate through the relevant teaching Department, School and the officer in Charge of academic affairs.
- c. A detailed assessment of the application by head of the teaching department, and the dean of the faculty shall be submitted together with the application.
- d. GSREC shall cause each application to be reviewed and then submit all the reviewed applications with appropriate recommendations to the Research Endowment Fund Board of Trustees, who shall make the final decision on the actual award.

- e. All awardees shall give appropriate citation, as may be set by the Board of Trustees in acknowledgement of grants in all publications arising from awards from the Research Endowment Fund.

B.

- a. Application for research grants from the Research Endowment Fund shall be made to the GSREC through the head of teaching department and dean of the school.
- b. Applications shall be reviewed and short listed by the Faculty Research Committee and recommended as appropriate to the University Research Committee.
- c. GSREC shall consider and award the grants taking into consideration the recommendations from the Faculty Research Committee and guidelines specific to each award.
- d. Awardees shall be required to carry out their research in accordance with the Moi University Research Policy, the Moi University Intellectual Property Policy and the national and international laws.
- e. All awardees shall give appropriate citation, as may be set by the Board of Trustees in acknowledgement of grants in all publications arising from awards from the Research Endowment Fund.

C.

- a. Applications for the endowment chair shall be made to the research endowment fund board of trustees by the head of the unit in which the holder of the endowment chair shall serve, through the officer in charge of academic affairs and the officer in charge of research.
- b. The application shall include a detailed curriculum vitae of the professor on whose behalf the application is made and a comprehensive programme of activity for the duration of the period in which the professor shall hold the position.
- c. Individuals shall not apply for own appointment to the endowment chair.

D.

- a. Applications for hosting workshops, conferences, symposia and such learned gatherings shall be made to the Research Endowment Fund Board of Trustees through the University Research Committee and the Faculty Research Committee one calendar year prior to the intended date of the gathering.
- b. The application shall be in form of a group or individual proposal that shall clearly show the applicants, the goals, themes, probable list of participants, detailed cost and estimated sum of money required from the fund as part of the total cost.
- c. The Research Endowment Fund shall normally not provide all the monies required to hold a conference, workshop, symposium or such academic gathering.
- d. The Research Endowment Fund shall not support travelling to attend workshops, conferences or such gatherings out of Kenya, unless such travelling was initially provided for in a project financed by the Fund.

7.0 Books of Accounts and Related Records

The Research Endowment Fund Board of Trustees shall cause to be prepared kept proper books and records of accounts of the endowed funds, interests generated in the year and expenditure. The financial year for the purpose of the Research Endowment Fund shall be the same as the financial year of the University as shall be determined by the University Council under the Moi University Act Part IV, 18. (1). All books and records of accounts shall be audited as provided for in the Moi University Act Part IV, 21.(1).

Notwithstanding the provision of this act, an endower, on powers of contract signed at the time of endowment, may contract a registered audit body or use their own recognised auditors to examine and prepare an audit report on the endowment specific to that endower. Copies of such additional audit reports shall be made available to both the University Council and the endower.

8.0 Research and Annual Reports

8.1 Research Reports

All awardees shall prepare and submit technical and financial reports to the University Research Committee of Senate for record and onward transmission to the Research Endowment Fund Board of Trustees. The reports shall contain such details and specifications as shall be determined by the Board of Trustees on advice from the GSREC. The technical annual reports shall be bound and shall normally be deposited in University Library as part of the Special Collection.

8.2 Annual reports of the Board of Trustees

The Research Endowment Fund Board of Trustees shall publish annual reports showing the endowments they control, fund disbursement in the previous year, executive summaries of the sponsored projects and any other necessary information. Such reports shall be deposited with the University library, the DVC in charge of research and all academic Schools and Departments.

9.0 Equipment and Supplies

All equipment and supplies, including consumables, purchased using awards from the Research Endowment Fund shall be surrendered to the University within six months of the end of the project period, unless an extension shall have been applied for by the researcher and granted by the Research Endowment Fund Board of Trustees.

10.0 Publications and Intellectual Property Issues

- i. All publications from work carried out using grants from the Research Endowment Fund shall carry appropriate acknowledge of such support, including the name of the awardee(s) and the award number.
- ii. Intellectual property issues arising from research or any other work carried out using grants from the research Endowment Fund shall be governed as set out in the Moi University Intellectual Property Policy, provided that a proportion of monies accruing from royalties and such other benefits shall allocated to the Research Endowment Fund in a proportion shall be established by the Moi University Council.