



POLICY
RESEARCH & INNOVATION

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POLICY

RESEARCH & INNOVATION

Prepared by	Reviewed by
RESEARCH & DEVELOPMENT OFFICER	DIRECTOR RESEARCH MANAGEMENT CENTRE
Approved by	
VICE CHANCELLOR	




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REVISION HISTORY

Rev. No	Rev. Date	Summary of Changes	Author



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1.0 INTRODUCTION


The research and innovation policy serves as a guideline for academicians for carrying out both fundamental and inventive translational research activity at AIMST. It is basically a quality assurance system with a set of standards devised to improve the standards of research and innovation practice and quality at AIMST University. This document contains all the framework for promoting a constructive research culture to gain global recognition in research and our innovation. All policies mentioned here are in line with the University's Vision and Mission which is towards becoming a world class research university.

VISION

To develop excellent research, to achieve visibility and recognition at an international level within the research area and to provide efficient and quality service to the researchers in the university.

MISSION

- a) To generate knowledge and its transmission to society, through the development of research lines aimed at improving its competitive position in different areas.
- b) To cultivate and motivate researchers to perform world class research by consistently providing quality and improved service.
- c) To promote shared responsibility, the ethical conduct of research, and compliance, enhances researchers' abilities to obtain and manage grants and support strong infrastructure for interdisciplinary research.

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2.0 OBJECTIVES

- Cultivate and enhance research culture.
- Drive the organizational development by providing quality service at the centre.
- Maintain consistency in the professional management of the centre to ensure researchers can successfully carry out research activities.
- Establish close link industries and encourage industry driven research activities.
- Establish local and international research networks that supports student and staff mobility as well as sharing of facilities.
- Establish a systematic and archived documentation system at the centre.
- Provide an effective financial management service oriented by the principals of accountability, legality and integrity.
- Fulfilling AIMST University's aspiration of becoming a World Class Research University.
- Performing more translational research which would enhance the opportunity to gain revenue for the University from research, development and commercialization activity.

3.0 SCOPE

The policy encompasses guidelines for all research and innovation practices. The policies cover the following the following areas:

- Management of research and research output
- Collaborative joint ventures
- Consultation
- Commercialization activities

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4.0 RESPONSIBILITY

The Vice-Chancellor and the Research Management Centre are responsible for the implementation and ensuring full compliance of the policies.

5.0 RELEVANT DOCUMENTS

Relevant documents are as follows:

- (a) Universities & College Universities Act 1971
- (b) RMC Guidelines (Appendix 1)
- (c) AIMST University Human and Animal Ethics Committee Operational Guidelines (Appendix 5)
- (d) AIMST University Statute


6.0 GLOSSARY

6.1 Terms and Definitions

a) **Research** refers to any systematic activity that promotes advancement of knowledge through scholarly, scientific and creative activities. This encompasses activities which involves discovery, interpretation or application of knowledge which are discussed with or evaluated by the wider community of academic peers. These activities could give rise to new findings/knowledge, enhance/refine the knowledge on existing findings/knowledge, research publication, intellectual property, promote product development, wealth creation and nation building through the K-economy (Knowledge-economy).

(b) **Researcher** any person who engages in research activity at AIMST University.

(c) **Staff** refers to anyone who is appointed by the University abiding the University policies and statute for promoting research and scholarly output, which includes academic staff, officers, administrative staffs, lab staffs, research fellows, or employees of the university.

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(d) **Student** refers to a student who is registered at the university.

(e) **AIMST/University** refers to the AIMST University.

(f) **AIMST University Code of Ethics for Academic Staff** refers to the AIMST University code of ethics for academic staff.

(g) **Consultation** refers to any expert or skilled service or transfer of knowledge by any AIMST personnel to a third party with or without payment. Consultation is normally in the form of a training, advice or guidance and not to be mistaken for professional service provided by service centre of the University.

(h) **Consultant** refers to all AIMST staff who provides consultation.


(i) **Commercialisation** refers to any services, products, knowhow, processes or organised systems which result from innovative ideas that belongs to us, that can be brought to the market through licensing, sales, spinoff, or joint venture companies.

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

(k) **Intellectual Property** refers to any intellectual property protected by the laws of Malaysia and other countries that includes the findings that can be patented, knowhow, Copyright, Design, Design of Integrated Circuits and Trademarks.

6.2 Abbreviation

RMC	Research Management Centre
IP	Intellectual Property
CoE	Centre of Excellence
HICoE	Higher Institution Centre of Excellence
AURRB	AIMST University Research Review Board

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7.0 POLICY STATEMENT

In line with the vision of the AIMST University to be a world-class university, achieving excellence in teaching and research, and engaged in the service of society in promoting lifelong education, the university is committed to develop an innovative research culture that would earn us global recognition, promoting both fundamental and translational research among staff and students of AIMST.

7.1 Approaches in achieving Research & Innovation policy goals

The approach undertaken by the University to achieve our target to become a research centric university are as follows:

- (a) It is compulsory that all academic staff must conduct research and involve in scholarly activities which results in publication or IP. It is an improvement criteria in their appraisal.
- (b) Organize grant application workshops prior/at the initial period of any external grant call to encourage more academic staff to apply for it.
- (c) Provide internal grant scheme. All academic staff are eligible to apply for this scheme.
- (d) Research is the primary scale/measure in the promotion scheme, so one must achieve certain research accomplishments as per the AIMST promotion policy to get promoted.
- (e) This research and innovation policy cannot be used as an excuse for any academic staff to exclude himself/herself from teaching or carrying out other non-research responsibilities without the consent of the Vice-Chancellor.


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7.2 Implementation of strategies to achieve Research and Innovation Policy goals

In order to cultivate the innovative culture in both fundamental and translational research, among both staff and students, AIMST University employ the following strategies.

1. RESEARCH AND INNOVATION STRATEGIES


- (a) Maintain a conducive research environment which caters multi and interdisciplinary research.
- (b) Maintain infrastructure and facilities relevant for research in optimum working condition at all times.
- (c) Improve research facilities in a feasible manner according to the need of majority of academic staff.
- (d) Employ full-time or adjunct academic staff, both local and international ones, with excellent track record in research with impactful publications high impact journals.
- (e) Provide publication allowance to staff (The details and terms of reference for the publication allowance is in Appendix 3).
- (f) provide adequate and trained human resources to promote research activities.
- (g) encourage staff to participate in research groups for sustainability and optimal use of resources.
- (h) identify and support the development of expertise in 'niche areas' and exploring new frontiers to maintain the research strengths and interests of the country.
- (i) invite competent researchers (research icon) including foreign researchers to conduct research at the University.
- (j) establish research centers as dynamic catalysts for research development and ensuring staff membership in any of the research centers.
- (k) appoint external assessors to evaluate the progress and outputs of research programs of university staff.
- (l) network with the public and industry for research and innovation purposes.
- (m) develop strategies to increase the number of articles published in high impact journals.
- (n) implement an appropriate reward system to encourage excellence in research.

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2. COMMERCIALISATION/CONSULTATION AND INDUSTRIAL NETWORK ASPECT

Strategies in the commercialisation/consultation and industrial network aspect are to:

- (a) encourage staff to improve international relations such as undertaking their sabbaticals abroad.
- (b) commercialize research discoveries and technology developed at the University.
- (c) organize a workshop/seminar/conference that aims to expose the university staff to aspects linked to negotiations, commercialization, intellectual property, and technology transfer.
- (d) promote interaction with industry and professional bodies.
- (e) create strategic plans aimed at strengthening consultation services to various government departments, industry and professional bodies.
- (f) network with the public and industry for consultation and commercialization purposes.
- (g) promote collaboration among universities in technology transfer, academic and training programs and related matters.
- (h) support efforts to promote research activities through consultation.
- (i) encourage the application of research findings into policies, industries and society as one of the social responsibilities of the University.
- (j) give recognition to staff who can generate income for the University.
- (k) identify and strengthen expertise in niche areas as the University has expertise in various fields.
- (l) encourage experienced consultants to maintain the development of new lecturers to ensure the continuation and strengthening of expertise.
- (m) work with private companies to complement their expertise to handle the needs of a multidisciplinary project as required by the client.

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7.3 Exposure and the Internationalization of Research

The internationalization of research is necessary in order to strengthen the development of competitive and innovative research culture among staff and students. The exposure and the internationalization of research are necessary for the following purposes:

- (a) To increase research excellence and innovation potential through greater access to external sources of knowledge
- (b) To develop a global collaboration and innovation network that can promote and utilize new knowledge and technologies
- (c) To enhance the global competitiveness of the research conducted at universities
- (d) To compete for international research funds
- (e) To expose local staff and students to research culture in developed nations
- (f) To attract excellent foreign students to conduct research at the university to promote interaction between cultures.


The internationalization of research will be implemented by organizing and participating in more international seminars and conferences, presenting research papers, generate project papers published in high impact journals or international papers and research through international collaboration.

7.4 Research Findings (Output) and Performance Indicators

The expected research/scholarly output that is used as performance indicators are publications in indexed journals, intellectual property rights, research reports, research funds, supervision and other details as stated in Appendix 2.

7.5 Research Ethics

Staff and students of the university who conduct research must have high ethical standards in accordance with the guidelines stipulated in the AIMST University Code of Research Ethics is provided as Appendix 3.

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7.6 Intellectual Property Rights

Intellectual property rights are the rights protected by specific laws that allow the owner of the Intellectual Property to exercise exclusive control over the exploitation of such rights usually associated with commercial gains. The methods practised by the University are as outlined in the AIMST Intellectual Property filing procedure.

7.7 Synergy in Teaching and Research


In an effort to elevate postgraduate degree programs and research to an international level, appropriate strategies need to be designed to enable students to undertake part of the research programs abroad and financed from the University Research Fund to attend conferences, workshops, or seminars. In line with the concept of internationalization of the University, it should encourage researchers and foreign students to take part in postgraduate research programs.

7.8 Management of Research by the University

The management of research by the university ensures that the AIMST University remains as a premier research university in Malaysia. The Management consists of:

- (a) AIMST University Research Review Board
- (b) Research Management Centre
- (c) Executive Management Council
- (d) AIMST Senate
- (e) First Selection Committee (Board of Directors)

Other units under the purview of the Deputy Vice-Chancellor (Research and Innovation) which have a role in supporting this policy include HICoE and research-related units established or modified from time to time.

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7.9 Centre of Excellence for Research

The establishment of research centers and institutes will be intensified in an effort to raise the research profile of the university that will focus on existing strengths in the field (or in developing research areas determined by the university) wherein the university has expertise in these areas.

This will assist and promote research excellence in the university that in turn will improve the performance and reputation of the university.

Research Centers of Excellence will also serve as a platform for binding relationships between universities and other research institutions and industries and promote inter and multidisciplinary relationships. The attributes of the Centre of Excellence for Research and Institute:

- (a) are consistent with the strategic interests of the university
- (b) support university research policies and strategies
- (c) are in accordance with the priorities of funding agencies and competitive
- (d) portray the performance of high-quality research
- (e) reflect the financial sustainability in research and finance
- (f) Have been approved by the Senate and Board of Directors of AIMST University.

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7.10 Higher Education Centre of Excellence (HICoE)

HICoE to be ranked according to the following three (3) thrusts:

- (a) Research and Innovation Thrust
- (b) Teaching and Learning Thrust
- (c) Service Thrust

HICoE Evaluation Criteria based on Research and Innovation Thrust is as follows:

Criteria	Percent (%)
A. Quality and Quantity of Researcher	25
B. Quality and Quantity of Research	25
C. Quality and Quantity of Postgraduates	15
D. Innovation	10
E. Professional Services and Gifts	5
F. Network and Reach	15
G. Support Facilities	5
TOTAL	100

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8.0 VERSION

The first version has been approved by Senate in its meeting on

9.0 APPENDICES

- (a) RMC guidelines (Appendix 1)
- (b) Research Findings (Output) and Performance Indicators (Appendix 2)
- (c) AIMST University Ethical Guidelines for Research (Appendix 3)
- (d) IP filing procedure (Appendix 4)




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APPENDIX 2

RESEARCH FINDINGS (OUTPUT) AND PERFORMANCE INDICATORS

1. Refereed publications in journals, monographs, books (original works), chapters in books and proceedings.
2. Intellectual property rights and documentation in the form of patents, certificates of copyright (copyright), industrial design, etc.
3. Papers presented at conferences, seminars and workshops at the university level, nationally and internationally.
4. Original creative works such as documentaries, musical scores, artistic performances, videos, etc.
5. Research reports that contribute to improved policy framework for government or institutional management strategies.
6. Recognition received for the research findings (output).
7. Research funds from public sources, private and overseas acquired in accordance with the current target.
8. Recognition of research expertise such as the appointment as a journal editor, an external examiner, a panel of experts and consultants.
9. Supervision of postgraduate students until graduation.
10. Research and the research findings (output) that gets media coverage.
11. Patented or commercialized research product/idea.
12. Application of research findings (output) in national development.

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13. Research reports/consultancy projects satisfy the terms of reference and approved by the client.

14. Other relevant matters.


APPENDIX 3 AIMST UNIVERSITY ETHICAL GUIDELINES FOR RESEARCH

1. INTRODUCTION

1.1 It is important for the university to have academics staff, postdoctoral fellows, research associates, research assistants/officers and postgraduate students who continuously undertake research activities. It is an obligation that a university must undertake towards realising its dream of achieving global recognition and moving towards providing world class education to students which are always up-to-date in theory, methods and facts.

1.2 Research carried out should address issues or problem statements in line with National Priority Research Areas and global issues using appropriate up-to-date methodologies executed with patience and integrity. To realise this, proper expertise is essential, as research results in novel/new idea, theory or inference or validation of an existing idea.

1.3 The desired end goal of any research carried out is to generate and validate new ideas or knowledge or modify/enhance existing knowledge that can be shared with global research community. Prior to sharing any research outcome, one must assess whether the idea or knowledge generated has commercial potential and whether it qualifies to become an Intellectual Property. If it does have any of the two-forementioned potential, the idea must be legally protected prior to sharing it in the public domain. Ensure that all ideas generated should one way or another spell progress to our nation/humanity without jeopardizing social harmony, the environment or our biodiversity, international relations and most importantly does not promote terrorism.

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2. GENERAL DEFINITIONS

2.1 Ethics are the principles of good conduct known also as a moral principle based on the value that is accepted in a civilization.


2.2 In the context of research at the university environment, ethical conduct is known as good behaviour that should be adhered by researchers and everyone in the research value chain of the university that rejects bad behavior especially in the daily life of an academic and researcher.

3. RESEARCH ETHICS

In this guideline, research ethics is the ethical aspects of research, publication, conference, and consultation.

3.1 Research Aspect The staff should:

- (a) Be honest and sincere in terms of research objectives and plans.
- (b) Be honest in collecting data, i.e. the data is not manipulated or fabricated.
- (c) Be honest in the planning of research expenditure.
- (d) Be honest in the use of research funding and does not use it for other purposes such as for vacation or buying things that have nothing to do with research.
- (e) Be honest in the submission to the University of the funds received if there is more than one fund.
- (f) Be honest in relation to compliance with the terms of the agreement that is provided by certain donors.
- (g) Comply with Special Ethical Codes in relation to certain professions, such as education, medicine, engineering and others that cover confidentiality and safety in the workplace.

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(h) Be respectful to the informants or subjects, or even to the guardian of the subject (if the subject is a child) and also to inform truthfully of the purpose of the study and its process.

(i) Ensure that the projects are not identical or very similar to the project being undertaken by other colleagues, because the act is seen as a betrayal of that particular friend.

(j) To make the project using University funds or funds provided by the University as a University project and not as a personal project.

(k) Return equipment purchased for a project using University funds or funds provided by the University to the relevant Centre of Responsibility (CoR) after completion of the project and do not make it as personal property.

(l) Not to sell or commercialize, manuscripts or research products without the permission of the University.

(m) Not allowed to use research assistants who are hired for a particular research project to carry out other projects.


(n) Not to treat field research as a holiday.

(o) Comply with the regulations relating to research activities appointed by the University from time to time.

3.2 Publishing Aspect When publishing, the author should:

(a) speak the truth in terms of written material, not fabricated or manipulated in terms of data and findings.

(b) write ethically in academic writing research by stating the research methodology, theory and data analysis method.

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(c) accord appropriate reference and recognition to previous research and publication, and to those who have given any forms of contribution to the success of the research.

(d) avoid plagiarism.

(e) avert misplaced self-praising attitude.

(f) respect the confidentiality of those who provide information by not disclosing the name of individuals or institutions involved, if requested by them.

3.2.1 Plagiarism

Plagiarism is an academic fraud arising from the attitude of lying, being dishonest, insincere, untrustworthy, and does not respect fellow colleagues. Plagiarism occurs when the ideas of others are taken without naming its source, and thus gives the impression that the idea was his own idea. This situation can occur when:

(i) a person's idea is taken verbatim from articles or books already published.

(ii) a person's idea taken from articles or books using their own words.

(iii) a person's idea is taken from the discussion of whether in conferences, seminars, forums, lectures or informal talks between the two parties.


(iv) the data, diagrams, tables, photographs or illustrations of any material that comes from other people taken as if belonging to themselves.

3.3 Conference Aspect In carrying out this activity, the staff should:

(a) be honest in the application and be objective in attending the conference.

(b) be honest in the preparation of budgets and make claims to attend the conference.

(c) submit evidence that the abstracts and papers have been accepted for presentation at the conference.


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- (d) obtain the consent of the university and the government before leaving for the conference should it be held outside the country.
- (e) proceed to the conference destination, and not go elsewhere.
- (f) present the paper as scheduled, and not withdraw without an acceptable reason.
- (g) attend the conference full-time, not just one or two sessions only.
- (h) maintain the good name of self, of the university and the country while abroad.
- (i) ensure that conference papers are presented in prestigious academic conferences.
- (j) share the knowledge gained from conferences with colleagues and students through discussions, presentations in seminars and providing reports and so on.

3.4 Consultation Aspect In consultation, the staff should:

- (a) obtain the permission of the University and comply with the regulations that have been set, before carrying out consultancy work.
- (b) ensure that the consultancy work does not interfere with other duties at the University.
- (c) inform the University, the income earned from consultancy work and submit it to the decision of the University to take or not part of that income.
- (d) strive for consultancy work on their own expertise or expertise with colleagues.

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APPENDIX 4: IP filing guideline

To apply for a IP, the inventor must follow the following steps:

1. Submission of Innovation Declaration Form (IDF). Please note the following disclaimers prior to filling the IDF.
 - *The inventors can only be those who have contributed in the technical development of the innovation, therefore people who carried out the project work without giving any technical input is not considered an inventor.
 - *Students working on the project can only be considered as an inventor when they have given technical idea in the development of the IP.
 - *It is advisable for the IP to be filled prior to any publication being made under the scope of the IP.
 - *It is not advisable but If any public disclosure of the innovation has been done prior to IP filing, then the innovator must file the IP within 12 months from the date of disclosure.
 - *Innovations that have novelty and innovative steps will be considered for Patent while novel innovations with no apparent inventive step will be filed as utility innovation (UI).
 - *If it's a Know-How then, it will be discussed with our patent attorney, whether it should be patented or protected as a trade secret.
2. The IDF will be reviewed RMC along with the Chairman of Research and the Vice Chancellor to decide whether the research has potential and whether should it proceed for novelty search. This review may include additional members is deemed necessary.
3. Upon novelty search, the filing of the innovation will proceed as per decision and suggestion given by the patent attorney.
4. The claims are drafted by the patent attorney which is then checked and verified with the inventors in the presence of RMC and Research Chairman. Upon agreeing to the claims, the IP is filed
5. Documents that is part of the Proof of filing is retained at RMC.
6. Subsequently, PCT filing is made, if required.

***The IDF can be obtained from the RMC site at www.aimst.edu.my. A copy of the form is disclosed below.