RESEARCH AND DEVELOPMENT POLICY & GUIDELINES

(UCSI UNIVERSITY)

* The Policy will be reviewed half yearly by the Senate RSA Committee. Comments and feedback will be compiled and tabled at the University Senate Level.

Document Control

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Responsibility

Policy Owner:	**CERTRE OF EXCELLENCE FOR RESEARCH, VALUE INNOVATION AND ENTREPRENEURSHIP (CERVIE)**
Managed by:	**CENTRE FOR QUALITY ASSURANCE AND ENHANCEMENT**

INTRODUCTION

Academics in institutions of higher learning are expected to contribute actively to knowledge advancement in their respective disciplines. UCSI University (hereinafter referred to as the University) acknowledges the critical importance of research and knowledge dissemination as a key component in developing and maintaining the high standard in an educational institution.

The University prioritises the development and sharing of new ideas, for the benefit of mankind. It is our hope that the conducive environment established at the University will stimulate great interests among researchers and industrial players to invest time and capital in our research and development activities.

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The Research and Development Policy & Guidelines depicted here is part of an ongoing effort to systematise and structure the achievements, both past and future, of University academics and researchers engaged in Research, Value Innovation and Entrepreneurship activities.

This policy & guidelines is applicable to all researchers in UCSI University.

To encourage and facilitate research activities, UCSI University has put in place several guidelines, funding mechanisms as well as incentives for doing research. This document provides information and guidelines on the following:

1.0   Policy on Conduct/ Research Ethics

2.0   Intellectual Property Rights and Commercialisation

3.0   Publication and Dissemination of Research

4.0   Conference Funding Policy and Guidelines

5.0   UCSI University Research Grant Policy and Guidelines

6.0   High Impact Research Awards

1.0 POLICY ON CONDUCT/ RESEARCH ETHICS

1.1 Researchers are expected to be honest in respect of their own actions and in their responses to the actions of other researchers. This applies to all aspects of the research including applying for funding and grants and the publishing of findings.

1.2 Researchers are expected to uphold research integrity at all times. Specifically, researchers shall acknowledge the direct and indirect co-relationship of colleagues, research collaboration and others in their work and publication.

1.3 Research integrity includes maintaining rigour, carefulness and accountability that are the recognised standards of good scholarship, and not just the avoidance of wrongdoings. All researchers should actively practise the following:

- emphasis high quality research
- undertake appropriate research supervisions
- maintain accurate and detailed research activity records and results
- be ethical about the objectives of one's research
- be open and cooperative with one's fellow researchers and others
- is committed to publish and/or further develop and commercialise one's research findings

1.4 No legal infringements on any forms of research output (in relation to copyrights, patents, trade-marks, computer software, etc.) will be tolerated.

1.5 Any potential conflicts of interests related to the research proposal must be disclosed prior to conducting the research.

1.6 Certain research proposals require approval from the Research Ethics Committee before the project begins particularly for the following types of projects:

- Research which actively or passively involves human and/or animal subjects, and
- Research which actively/passively involves the use of hazardous materials and/or biological agents

1.7 The original collected data must be accurately recorded, interpreted, preserved, and made fully accessible to the University in its original form.

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1.8   Researcher(s) must ensure that the data is accurate and records are easily retrievable to ensure the effective progress of research projects.

<u>Note:</u>

- Where the principal researcher leaves/ resigns from the University, the ownership of the primary data belongs to the University. However, the investigator(s) can, with the University's agreement and acknowledgement to the University, continue to use the original data for further publications

- Any requirements governing the preservation of the data as approved by the granting agency must be adhered to. Under certain circumstances, it may be necessary to maintain the collected data for a longer period than was initially agreed

- In the case of research projects involving two or more laboratories (joint research projects), the principal researcher(s) who are involved in the project, will be responsible for the data maintenance

1.9   It is the research team's responsibility to identify, assess and acknowledge any health, safety and environmental risks that may be involved in their work.

1.10   If the research team is of the opinion that their research project will pose significant health, safety and environmental risks, a thorough health impact assessment must be submitted to the Senate-RSA during the funding applications (Institutional Biosafety Committee).

1.11   If a health, safety and environmental assessment report has not been submitted but the Senate-RSA (Institutional Biosafety Committee) has sufficient reasons to believe that a research will pose a significant risk, it may request the research team to submit the said mentioned report.

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2.0 INTELLECTUAL PROPERTY RIGHTS AND COMMERCIALISATION

- Ownership of internal and/or externally funded projects shall belong to the University unless agreed to otherwise.

- Ownership of all works produced by the University staff during the execution of their duties shall belong to the University unless agreed to otherwise.

2.1 Copyright

- Ownership and copyright of all works produced by University students for their degree/diploma shall belong to the University unless agreed to otherwise.

- The authorship of all works will remain with the researcher/author/inventor. The University shall give due credit to this effect.

- Copyright may be transferred to a journal/conference/book publisher if it is the publication policy of that particular publisher. This must be approved by the DVC of Academic Affairs and Research. However, the University strongly encourages researchers to request for certain rights to be retained including, but not limited to, the right to self archive their publications with the University, the right to provide open access to other University faculties and students via the internal archive and the right to republish after a certain period, in University publications.

- If the publication generates an income in the form of a royalty to the author, the researcher will be required to share the royalty with the University. The percentage of sharing will be decided prior to the publication.

- It is the University policy that all rights on copyright shall remain with the creator unless; the work is a work-for-hire (and the copyright rests with the University under the copyright laws), is supported by the direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or, is otherwise subject to contractual obligations.

2.2 Patent Policy

- All potentially patentable inventions conceived or first reduced to practice in whole or in part by members of the faculty or staff (including student employees) of the University in

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the course of their University responsibilities, or with more than incidental use of University resources, shall be disclosed on a timely basis to the University. The right to such inventions shall be assigned to the University, unless otherwise agreed to by the university with source of funding.

- The University shall share royalties from inventions assigned to the University with the inventor.

- The inventors, acting collectively where there is more than one, are free to place their inventions in the public domain if they believe that would be in the best interest of technology transfer, and if doing so does not violate the terms of any agreements that supported or are related to the work

- This policy shall apply to all inventions conceived or first reduced to practice on or after January 1, 2010

- In addition to faculty members and staff (including student employees), the provisions of the University's patent policy will extend to:
    - All graduates, undergraduates and postgraduates
    - Non-employees who participate or intend to participate in research projects at the University (including visiting professors, industrial personnel, fellows, etc.).

2.3   Licensing

- The University encourages the developments by industry for public use and benefits of the inventions and technology resulting from University research.

- Recognising that protection of proprietary rights in the form of patents or copyrights are often necessary, particularly with inventions derived from basic research, to encourage a company to risk the investment of its personnel and financial resources to develop the invention.

- In some cases, an exclusive license may be the necessary incentive for a company to undertake its commercial development and production. Non-exclusive licenses allow several companies to exploit an invention.

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3.0   PUBLICATION AND DISSEMINATION OF RESEARCH

3.1   Researchers are expected to publish/exhibit the findings of their research with full responsibility and with awareness of the consequences of any such dissemination in the public realm.

3.2   The University aims to ensure that research sponsors understand that researchers must have academic freedom and that sponsors should not discourage publication or dissemination of research and research findings. Every effort must be made to inform sponsors ahead of any potential publication or dissemination of the research findings. This allows sponsors to have adequate time and accurate information to protect any arising intellectual property or to plan for their own public relations together with the University, especially since media publicity is increasingly important to industry, civil society organisations and the University itself.

3.3   Researchers should be guided by the following points when publishing or disseminating their research or research findings in publications, conferences or on websites:

- Researchers should make every effort to ensure that their research or research findings are peer-reviewed before it is published, publicised or disseminated. If research is placed in the public realm before any peer review has been undertaken, this must be made clear by the researcher

- Researchers should acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity

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4.0   CONFERENCE FUNDING POLICY AND GUIDELINES

4.1   Purpose

This policy serves as a guide to determine the requirements of academic staff applications for funding of research-related conferences and the standard operating procedures which facilitate it. Specifically, it aims to provide a working framework that addresses the general needs of faculty members, as well as a transparent process to accommodate other individual needs.

4.2   Eligibility

Confirmed academic staff with ongoing and/or completed research projects and papers in association with any Faculty at UCSI University, whose works have been accepted for conference presentations, may apply for the funding.

Conference funding is only eligible for research projects conducted during the employment at UCSI University (including external collaboration). Staff who wish to present their paper (undertaking PhD/MSc at other Institution) is not eligible to apply for conference funding.

However, if the other Institution is willing to fund at least 50% of the conference funding, staff can apply for the conference funding and if approved, CERVIE will cover the remaining cost.

4.3   Funding Allocation

The recommended funding is based on the estimated expenses for an individual academic. The geographical location is taken into consideration because of the high costs of travelling by air and the cost of living in the respective regions.

Geographical Location	Indicative Allocated Amount (RM)
Europe/North America/UK	12,000
New Zealand/Australia	8,000
Asian countries	5,000
Malaysia	2,500

*Note: The amount suggested is derived from the average costs indicated by conference organisers in the respective countries.

Partial Funding will be given to applicant. The percentage of partial funding is 60% of the total allocated amount based on geographical location. Paper published with impact factor within a year from the date of conference will be awarded remaining 40% of total allocated amount. Paper published with index but without impact factor within a year from the date of conference will be awarded remaining 20% of total allocated amount. Please refer to Diagram 1.

Please note that each conference paper presentation is only allowable for one applicant to present the paper. If the applicant is not the principal author of the paper to be presented, written permission from the principal author to permit the staff to present the paper at the conference must be submitted during application.

4.4   Conference Allocation

All academic staff may apply for one international and one national conference per year. This allocation is based on the assumption that each academic staff may want to present two papers per year. This is not a cumulative allocation.

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4.5   Conference Criteria for Poster only Presentation

Poster only presentation will be considered for funding on a case by case basis with strong support from the Dean and Chair of the Faculty RSA Committee. Any poster presentation must be accompanied by a full paper submission.

4.6   Submission

All applications have to be submitted in advance to the Centre of Excellence for Research, Value Innovation and Entrepreneurship (CERVIE), together with recommendations from the respective Dean and Chair of the Faculty RSA Committee. All applications should be supported with proper documentations to include the full paper and acceptance confirmations for the conferences. The completed applications are to be vetted and endorsed by CERVIE. CERVIE may seek suitable advice from the Senate RSA Committee and an external member on the application.

- National conferences: Two (2) months (case-by-case basis)
- International conferences: Three (3) months

4.7   Conference Funding Assessment (at Faculty Level)

To ensure the conference paper submitted contributes to staff research development, as well as the advancement of the discipline, the Dean and the Faculty RSA Committee upon receiving the Conference Funding Form (CFF) will make recommendations and remarks based on the following criteria:

- Paper Content
    - o Comment on the paper content (i.e. Suitability of title, content quality and the paper presentation)
- Contributions to Staff Research Development
    - o Explanations on how the paper presented would benefit the staff research development as a whole (i.e. publications, in-depth research) and also its contributions to learning and teaching (i.e. transfer of knowledge to students and colleagues) at the Faculty level.

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- Contributions to the Advancement of the Discipline/Area of Research/Learning and Teaching
    - Explanations on how the research outcomes contribute to the advancement of the discipline/area of research/learning and teaching
- Publication Plans
    - Plans to disseminate the findings, in addition to the conference presentations

4.8   Conference Funding Assessment (for International Conference)

In addition to those outlined in 4.7, CERVIE will assign two independent reviewers on applications for International Conference presentations (amount exceeding RM2,500). Please refer to the review form for guidelines. CERVIE will make final recommendation on the applications upon receiving feedbacks from the reviewers on the paper's relevance and impact on learning and teaching.

International Conference Funding application shall go through two phases: the conference assessment and paper review. It is compulsory for conference paper to be accepted for publication within a year from the conference date, either with impact factor or no impact factor with index. Please refer to Diagram 1.

4.9   Notification of Approval

An official email will be sent to notify the staff, with due copies sent to the Group Human Resource Office (GHRO) and Group Finance Office (GFO) to formalise and substantiate the outcome of the funding applications. A Conference Code will be provided to be used as a reference point for claims upon returning from the conference.

4.10   Publication Recommendations

Staff awarded for International Conferences application (exceeding RM2,500) is required to submit the paper to a refereed journal within two years of approval date.

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4.11   Knowledge Sharing

Staffs who have presented nationally and internationally are required to share the knowledge with their respective faculty members and submit a hardcopy and softcopy of the conference proceedings to CERVIE.

Staff approved by the committee and funded for a conference must agree to the following terms:

1. To present the outcome of the paper presentation at Faculty level (staff and students) upon returning from the conference.
2. To submit the paper to the CERVIE Quarterly Working Research Paper or to any peer review journals as deemed fit.
3. To update the Chair of the Faculty RSA of publications.

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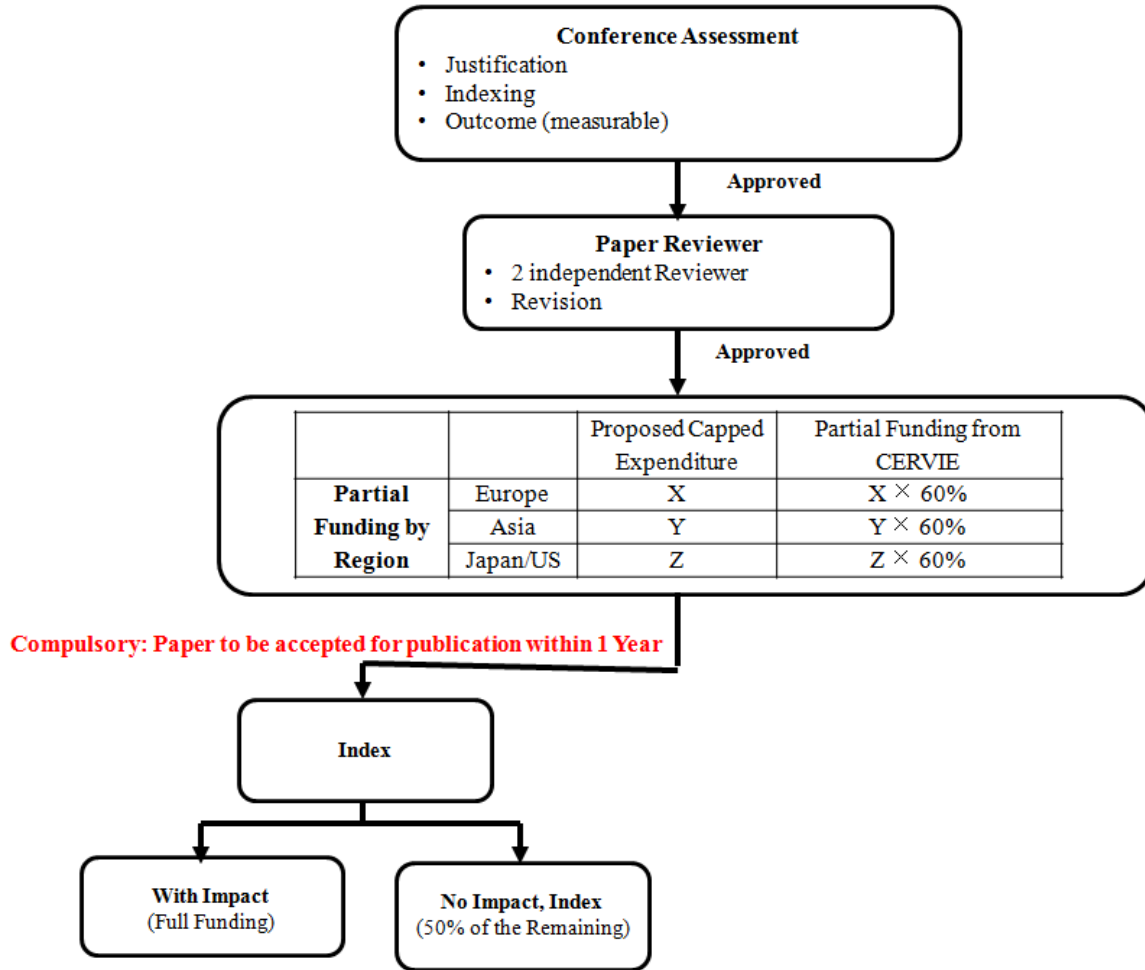
Diagram 1

Supporting Documents (can be downloaded from the CERVIE Public Folder)

Appendix A: Conference Funding Application Flowchart

Appendix B: Conference Funding Form

Appendix C: Conference Funding - Review Form

Appendix A: Conference Funding Application Process

Start

Submission of Paper to Faculty

Documents Requested
- Completed CFF
- Full Completed Paper
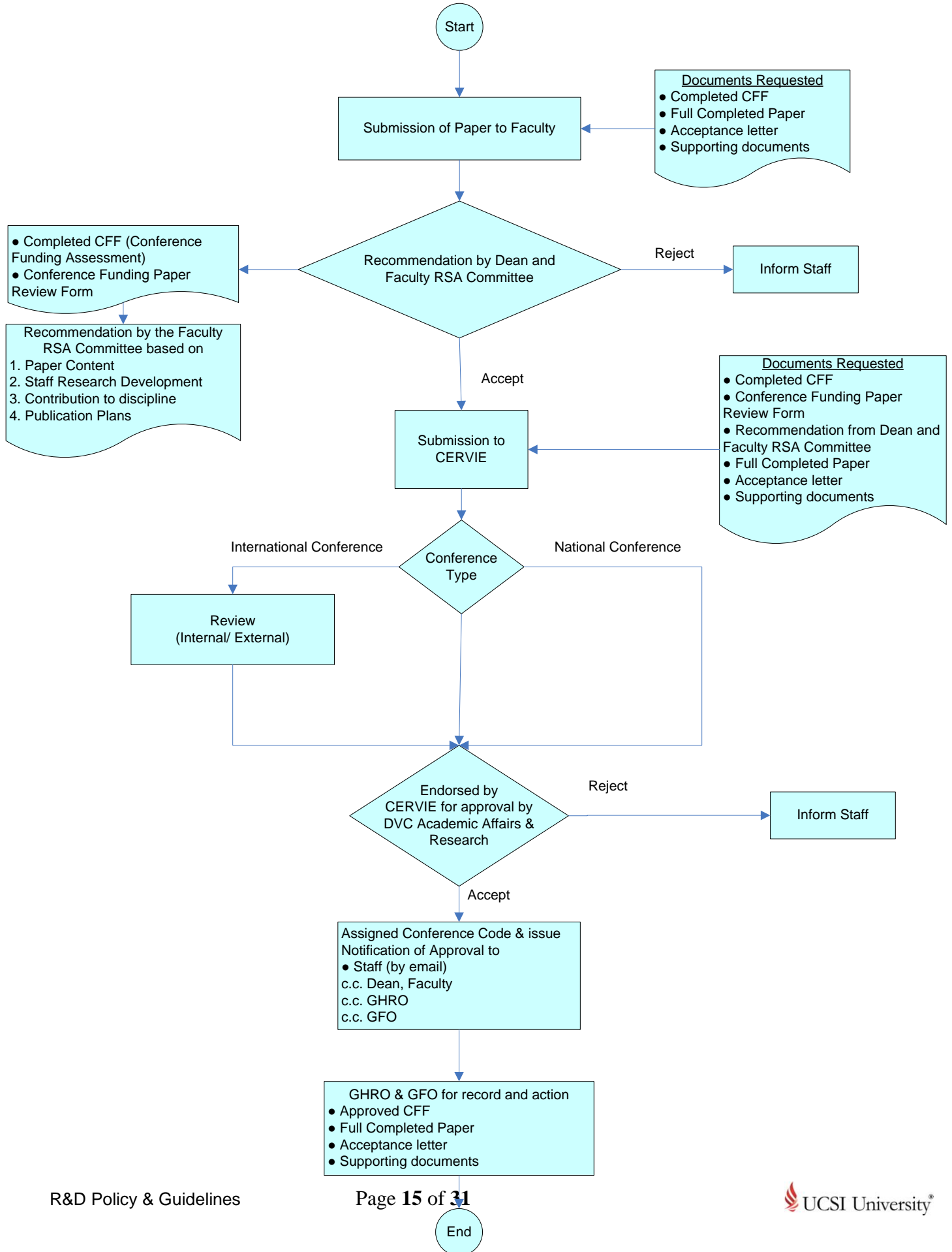- Acceptance letter
- Supporting documents

Recommendation by Dean and Faculty RSA Committee

- Completed CFF (Conference Funding Assessment)
- Conference Funding Paper Review Form

Recommendation by the Faculty RSA Committee based on
1. Paper Content
2. Staff Research Development
3. Contribution to discipline
4. Publication Plans

Reject → **Inform Staff**

Accept

Submission to CERVIE

Documents Requested
- Completed CFF
- Conference Funding Paper Review Form
- Recommendation from Dean and Faculty RSA Committee
- Full Completed Paper
- Acceptance letter
- Supporting documents

Conference Type

International Conference → **Review (Internal/ External)**

National Conference

Endorsed by CERVIE for approval by DVC Academic Affairs & Research

Reject → **Inform Staff**

Accept

Assigned Conference Code & issue Notification of Approval to
- Staff (by email)
c.c. Dean, Faculty
c.c. GHRO
c.c. GFO

GHRO & GFO for record and action
- Approved CFF
- Full Completed Paper
- Acceptance letter
- Supporting documents

End

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* This is a conference paper presentation only. For conference/training attendance, please use TRF and send to GHRO

5.0   RESEARCH GRANT POLICY AND GUIDELINES

The objectives of the Policy and Guidelines for the University Research Grant Scheme (RGS) are to provide clear and comprehensive guidelines for the management of research grants and as a source of reference to UCSI University academic staff.

5.1   Objectives and Definition

5.1.1   Objectives of Funding
- To promote research activities at national/international levels
- To forge research links and collaborations with research experts from the Government, Industry and Universities (Triple Helix Model)
- To generate research outputs and products leading to high impact
- To promote UCSI University as a research university.

5.1.2   Definitions

Under this Policy and Guidelines, unless otherwise stated:

"Research Grant Scheme" is a research grant provided by the University for UCSI University researchers to conduct research (pure or applied) with potentials for commercialisation.

"Research" means a research project conducted by a researcher with funding granted to UCSI University researchers under the Research Grant Scheme (RGS).

"Researcher" means the UCSI University principal researcher who has applied and was granted the research grant.

"Co-researcher" means Internal (UCSI University) and External (University, Industry and Government) research members involved in the Research Project Application.

"Abandoned project" means:

- An uncompleted research project by a researcher who has left the University
- Researcher's failure to submit progress reports after expiry of the project duration
- Research where the researcher fails to utilise the funds granted for the project

"Completed project" means a research project that is completed whereby the principal researcher submits the following documents to CERVIE:

- Final Research Form
- Extended Abstract according to the prescribed format (softcopy & hardcopy)
- A complete statement of account attached with original receipts.

"Delayed project" means a research project which is not completed within the approved duration.

"Travelling allowance" means travelling expenses incurred in the course of conducting the research, inclusive of accommodation and food.

"Communication and utilities" means expenses incurred in the course of conducting research which includes postage, telephone, telex, facsimile, cables, electricity, water, gas, installations and maintenance of equipment, phone rentals and other utilities.

"Supplies" means expenses incurred purchasing supplies in the course of conducting research which includes chemical reagents, consumables, glassware, biological resources, academic publications, stationeries and other supplies related to the research project.

"Professional services and other services" means expenses incurred paying for services in the course of conducting research which includes consultations with experts in the field, payments for enumerators, chemical analysis, data processing, editing and proofreading.

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''Equipment" means equipment required to conduct research which includes laboratory apparatus, lab equipment, field equipment and other related machinery.

5.2 Research Field

- The grant covers all research fields though emphasis is given to areas of research under the Faculty-proposed clusters.

5.3 Selection Criteria

Applications should fulfil the following criteria:-

- Research project submitted is expected to propose new ideas preferably with commercialisation potentials for both UCSI University and the collaborator.
- Contribute to staff research development, and the advancement of the discipline. Upon receiving the RGS applications, the RGS Panel will make recommendations and remarks based on the following guidelines:
  - Research Scope and Depth
    a. Applications submitted must fulfil one of the research categories i.e. Fundamental/Pure Research, Applied Research or Upscaling and Commercialisation (upon completion of an Applied Research project) (for details please refer to 5.6)
    b. RGS Panel Selection is based on the research depth and the research categories selection, as well as on subject matter experts' recommendations and decisions
  - Contributions to Staff Research Development
    o Applications should also demonstrate how the project outcomes will enhance the applicant's research development and skills as a whole
    o The project should also be able to demonstrate its contributions to learning and teaching (i.e. transfer of knowledge to students and colleagues)
  - Contributions to the Advancement of the Discipline/Area of Research/ Learning and Teaching
    o The project should also demonstrate how the research outcomes contribute to the advancement of the discipline/area of research/ learning and teaching

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- For RGS application submissions requesting research funds of less than RM 5,000, the research project will be presented and recommended at Faculty Level by the Dean and the Faculty RSA Committee. Final decision of project approval will be made by DVC Academic Affairs and Research.

- Any applications requesting research funds of more than RM 5,000, CERVIE will then appoint an RGS panel based on the research categories, with subject matter experts to comment and recommend the applications submitted. Upon revision, final approval will be made by DVC Academic Affairs and Research.

5.4 Terms and conditions of RGS approval

- For collaborative projects the applicant should enclose a certified letter of the co-researcher's status of participation and his/her institutional commitments.

- UCSI University, as the research funding body and employer, reserves the legal right to be recognised as the owner of all Intellectual Property Rights (IPR) resulting from the research and should be acknowledged as such in all reports and publications.

- The work must be original and does not contain any contribution(s) from any person(s) who is/are not properly acknowledged, listed or cited in the report(s). The Research team also agrees that should it choose to include any significant contribution(s) from any person(s) and/or organisation(s) that has/have not been disclosed previously on the public domain, it will first obtain written permission from the said person(s) and/or organisation(s).

- UCSI University should be kept indemnified in respect of any issues that, as a result of his/her failure, negligence or otherwise, in whatsoever manner that will make UCSI University liable.

- The research project must be completed within the pre-agreed time frame. Any requests for extension must be in writing and addressed to the office of the Deputy Vice Chancellor (DVC) of Academic Affairs & Research at least 2 weeks before the initial expiry date. Approval is entirely at the discretion of the DVC of Academic Affairs & Research.

- For collaborative projects, should the research team be unable to complete the research due to any of its member's departure, it is the lead researcher's responsibility

to ensure the continuity of the research project either by including a new research team from the University or with external collaborators. However, any unjustifiable reasons for project termination by the lead researcher will affect future RGS applications. The final decision is entirely at the discretion of the DVC of Academic Affairs & Research.

- Every effort should be made to ensure the publication of research findings.
- Researchers should be responsible for the care of any laboratory equipment being used in the said project. In the event of negligence or misuse, the university reserves the right to request for compensation from the researcher.
- The project has to be led by an UCSI University staff; however, to encourage the transfer of knowledge between institutions, participation by external associates are also possible.
- Under normal circumstances, UCSI University will not grant funding to postgraduate students from other institutions (both IPTA and IPTS).
- The whole RGS process is provided in Appendix D.

5.5   Eligibility

This grant is open to all full time staff of UCSI University. If the Principal Investigator is not a confirmed staff, at least one co-researcher must be a confirmed full time staff of UCSI University. A staff can be a Principal Investigator (PI) for no more than two RGS projects.

5.6   Types of Funding and Duration

- UCSI University research and development funds consists of four categories:
  - Fundamental/ Pure Research
  - Applied Research
  - Upscaling and Commercialisation (upon completion of Applied Research project)
  - Postgraduate Student Research Project
- The definition for each fund is:
  - Fundamental/Pure Research

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➢ Pure research is defined as research carried out by a researcher to increase understanding of fundamental principles and academic discoveries. The research carried out will generate new ideas, principles and theories with possibilities that the end results may have no direct or immediate commercial benefits. However, the research serves as a basis to generate commercial products/services.

▪ Applied Research

➢ Applied research is defined as applying existing knowledge to address a specific problem or to meet a specific need within the scope of the entity. In brief, applied research deals with practical problems and is generally empirical. It concerns research conducted on an existing problem confronting [and the solutions needed by] real life corporate companies who are without the capacity or the resources to conduct in-depth research. Such real life research projects require the partnership of academic teams who are equipped with the necessary research attributes to jointly fulfil the needs of the corporate companies. Solutions that prove effective may entail intellectual property (IP) negotiations and ownership discussions between the University and corporate clients.

▪ Upscaling and Commercialisation (upon completion of Applied Research project)

➢ Ideation is the thought processes involved in apprehending and expressing a new concept and potential ideas which may be converted into value-added end-products, useful in real life applications and sold to the market. Ideation involves the use of imagination to form new ideas and may be used in an organizational context for problem solving or in the conceptual phase of new product development. The Incubation and Innovation Centre fosters creativity and offers support in translating ideas into businesses with the aim of nurturing the entrepreneurship spirit among talented and ambitious students and staff. The Incubation and Innovation Centre setup at UCSI University aims to create a platform for young entrepreneurs, both internally and externally, to incubate potential business ideas through an array of business support resources and services, which are developed and managed by the

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centre. The Incubation and Innovation Centre's activities revolve around developing new ways of cultivating potential entrepreneurs through incubation and seed-funding of innovative start-ups, research on industry trends and best practices, and forging linkages with partners, to support the above activities.

- Postgraduate Student Research Project
  - ➤ Student Research Project Grant is to encourage potential final year student projects to apply for mini grant under RGS with expected outcomes of publication or participating in competition (Ideation). The grant must be used only for development of the prototype or to purchase consumable to carry out the research project. Outcome of the grant must be at least **One publication** or **prototype developed**. Supervisor must be the Principal Investigator and student as co-researcher during the application submission. Each project should not exceed RM 3,000 (case by case basis). A supervisor can supervise up to 5 students/ groups under this grant category. All submission will obtained final approval by DVC Academic Affairs & Research. Monitoring, Disbursement of Grant and Project Closure follow the RGS protocol and procedure.

- The Table below tabulates the guidelines for the time frame of project completion and funds allocated for each category:

Type of Research	Expected Project Completion	Indicative Fund Allocation
Fundamental/ Pure Research	1 year	RM 50k
Applied Research	2 years	RM 150k
Upscaling/ Commercialisation	2– 3 years	>RM150k
Postgraduate Research Project (Structure B & C)	1 year	RM 3k

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5.7   Disbursement

- The grant disbursement will be made in accordance with the research milestone mutually agreed upon between the researchers and UCSI University, and is based on the progression output.

- The DVC of Academic Affairs & Research has the right to withhold the payment/distribution of the grant whether in part or full, and/or to request for the scope of work to be undertaken again, if it is found that the researcher has not performed his/her obligations and/or responsibilities or in a manner acceptable to complete the project.

5.8   Progress Report

- The lead researcher is required to submit project reports every six months upon project initiation.

5.9   Request for Project Extension

- The lead researcher submits requests for extensions of project duration during the project duration, subject to approval by DVC of Academic Affairs & Research.

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5.10   Completion of Project

- Upon completion of the project, the lead researcher is required to submit the Final Progress Report to CERVIE for acknowledgement.

- CERVIE will issue an acknowledgement letter to verify the completion of the research project.

5.11   Termination

- In the event where the researcher fails and/or neglects, to undertake the scope of work in a truly professional manner based on researchable expectations of UCSI University and its collaborator institution, the project may be terminated.

5.12   Commercialisation Interest

- Any decisions on research outputs commercialisation must be done with the express consent of UCSI University.

- Any such recommendations will be based upon a carefully considered judgment that the commercial exploitation of Intellectual Property developed by UCSI University staff will provide the highest public benefit.

5.13   Intellectual Property

- All matters concerning Intellectual Property Rights of research funded by the university are subject to the UCSI University Policies and Guidelines on Intellectual Property Rights and Commercialisation.

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5.14   General Scope of Expenses Using Research Grants

5.14.1. Appointment of Research Personnel

- The principal researcher should identify the number of research personnel required and the costs involved.

- The appointment of research personnel is the responsibility of the principal researcher.

- Once the research personnel have been interviewed and selected by the principal researcher, Group Human Resource Office (GHRO) will issue the appointment letter. The appointment letter should contain the following information:

  - Name of Personnel

  - Status of appointment

  - Duration of appointment

  - Rates applicable

- The research personnel appointment may be on a part-time or full-time basis depending on the researcher's needs.

- The researcher is required to appoint, as far as possible, UCSI University students on a part-time basis, and, for non-UCSI University students, unless it is an internship student, the researcher should get prior permission from CERVIE.

- The approval of full-time research personnel is at the discretion of the appropriate approving authority (GHRO).

- A full-time research assistant must not be a full-time registered student, since the person is expected to work according to normal working hours of eight (8) hours and thirty (30) minutes e.g. from 8.30 a.m. to 5.00 p.m. or any other equivalent time.

- Research personnel must not be appointed from family members, relatives related to the researcher, or UCSI University staff who is getting a salary from UCSI University.

- Payments to research personnel should be based on qualifications and not on designation/position.

- Table 1.0 below shows the recommended rates for research personnel:

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Table 1.0: Research Grant Scheme (RGS) Research Personnel Categorisation & Budgeting

Employment Type	Qualifications	Min Salary	Definition	EPF/ SOCSO	UCSI Benefits (annual leave, insurance)	MRF (Faculty and CERVIE)	Attendance Record	ID Tag Issue	Issue of LoE	Payment Method	Total Cost
Postgraduate Student (Stipend)	Undertaking postgraduate	RM1000 pm (increase RM 100 annually)	Fixed Term Contract Employment	No	No	Yes	Timesheet/ By supervision	No	HR	Bank In	RM 1000
Internship, Co-Op Programme	Undergraduate	RM5 ph	Fixed Term Contract Employment	No	No	Yes	Timesheet/ By supervision	No	HR	Cheque	RM 5 ph
Part Time (Foreign Student to register with Co-Op)	Undergraduate/ Post Graduate	RM5 ph	Part Time	No	No	Yes	Timesheet/ by supervision	No	HR	Cheque	RM 5 ph
Research Assistant/ Graduate Research Assistant#	Degree Qualification and research experience	RM1500 pm*	Fixed Term Contract Employment	Yes	Lab (Insurance) Adjustment, Holidays (to be confirmed by HR)	Yes	By supervision	Temp. card	HR	Bank In	RM 2500 + 12% EPF
	Master Qualification and research experience	RM2000 pm*	Fixed Term Contract Employment	Yes	Lab (Insurance) Adjustment, Holidays (to be confirmed by HR)	Yes	By supervision	Temp. card	HR	Bank In	RM 3500 + 12% EPF
Post Doctoral Fellow#	PhD Qualification, 1-2 years research experience	RM3500 pm*	Fixed Term Contract Employment	Yes	Lab (Insurance) Adjustment, Holidays (to be confirmed by HR)	Yes	By supervision	Temp. card	HR	Bank In	RM 5000 + 12% EPF

*Recommended starting salary
Only applicable to Malaysians

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- The principal researcher will monitor the progress of the research personnel and submit to CERVIE a quarterly progress report upon initiation of the research project.

5.14.2 Travelling Allowance

- Travelling includes fieldwork surveys to obtain essential data or inputs for the project.
- Travelling and transportation expenses are for both domestic and overseas trips which are directly related to the project.
- The rates for a researcher's mileage, lodging, hotel and food allowance will follow the GHRO policy and guidelines.

5.14.3 Communication and Utilities

- Expenses relating to special services, example post, telephone, telex, facsimile, cables and other. It also includes charges for electricity, water, gas and other utilities, as well as installations, and the commissioning of equipment and phone rentals.

5.14.4 Supplies

- Include only expenses on research materials and supplies directly related to the project.
- The purchase of chemical reagents, consumables, glassware, animals for research, disposables, and etc. should be made through approved UCSI University suppliers. The purchasing procedure must comply with the University's purchasing Policies and Procedures.
- Claims for photocopying, stationeries or other items are based on actual receipts.

5.14.5 Professional and other services

- Includes expenses for special services directly related to the project (such as consultancies, payment for enumerators, usage of computer facilities, chemical analysis and data processing). Engagement of foreign expert(s) will be considered on a case-by-case basis.

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5.14.6 Equipment

- Covers purchases of special equipment and accessories (including accessories to upgrade the capabilities of existing equipment) directly related to the project
- Equipment approval is the discretion of the appropriate approving authority and is made on a case-by-case basis
- Equipment purchased should be made through approved UCSI University suppliers in compliance with the University's purchasing Policies and Procedures
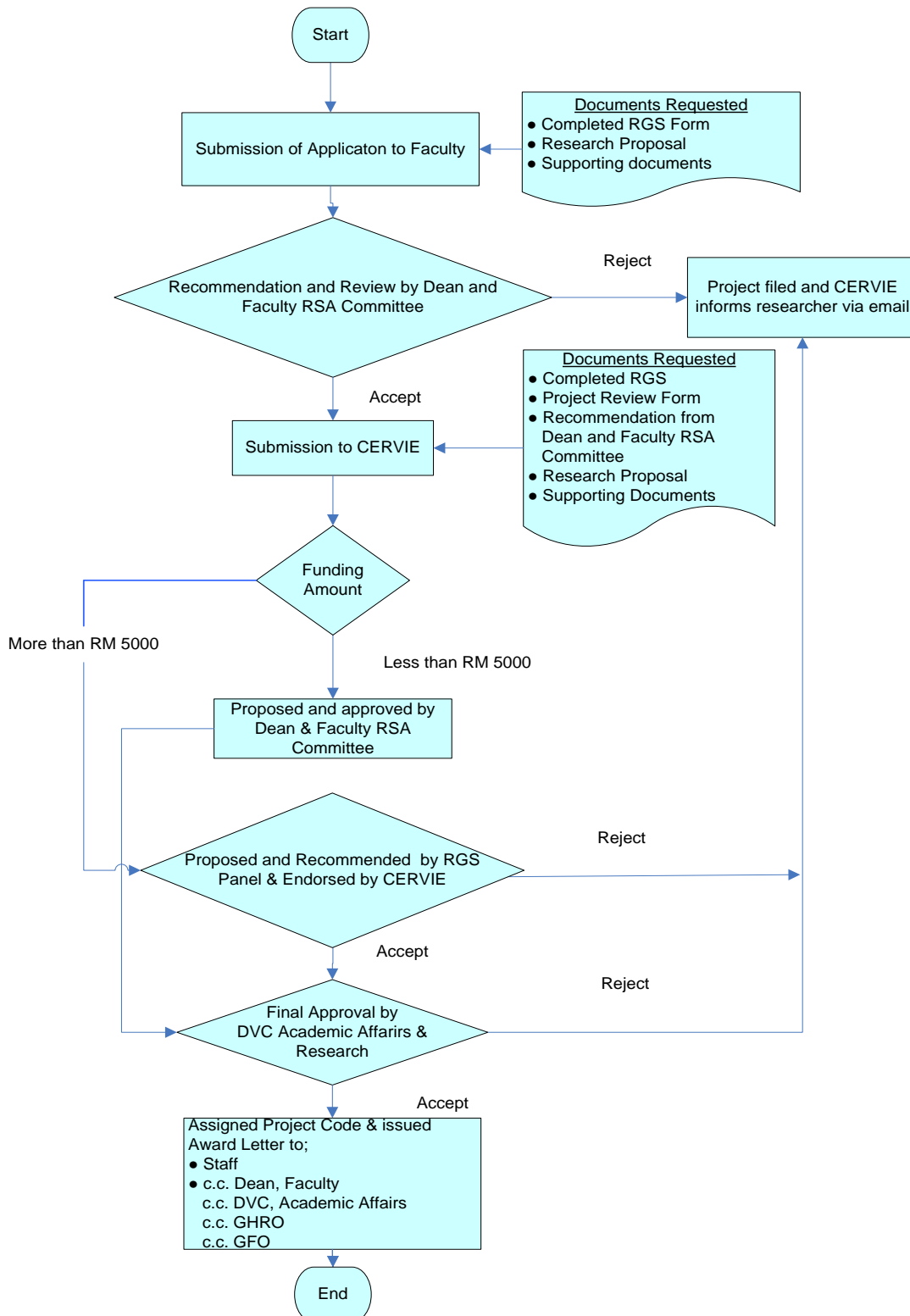- All equipment must be returned to the respective Faculty upon completion of the research project.

Supporting Documents (can be downloaded from the CERVIE Public Folder)

Appendix D: RGS Application Process

Appendix E: RGS Form

Appendix F: Project Funding Review Form

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Appendix D: Brief Flow for RGS Application

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                          ┌─────────┐
                          │  Start  │
                          └─────────┘
                               │
                               ▼
        ┌──────────────────────────────────┐    ┌────────────────────────────┐
        │ Submission of Applicaton to       │◄───│ Documents Requested        │
        │ Faculty                           │    │ ● Completed RGS Form       │
        └──────────────────────────────────┘    │ ● Research Proposal        │
                               │                 │ ● Supporting documents     │
                               ▼                 └────────────────────────────┘
        ◇──────────────────────────────◇   Reject   ┌────────────────────────────┐
        │ Recommendation and Review by  │──────────►│ Project filed and CERVIE   │
        │ Dean and Faculty RSA Committee│           │ informs researcher via     │
        ◇──────────────────────────────◇           │ email                      │
                               │                    └────────────────────────────┘
                          Accept                ┌────────────────────────────┐
                               ▼                │ Documents Requested        │
        ┌──────────────────────────┐           │ ● Completed RGS            │
        │ Submission to CERVIE      │◄──────────│ ● Project Review Form      │
        └──────────────────────────┘           │ ● Recommendation from      │
                               │                │   Dean and Faculty RSA     │
                               ▼                │   Committee                │
                        ◇───────────◇           │ ● Research Proposal        │
                        │ Funding   │           │ ● Supporting Documents     │
                        │ Amount    │           └────────────────────────────┘
                        ◇───────────◇
```

More than RM 5000

Less than RM 5000

- Proposed and approved by Dean & Faculty RSA Committee
- Proposed and Recommended by RGS Panel & Endorsed by CERVIE — Reject
- Accept
- Final Approval by DVC Academic Affairs & Research — Reject
- Accept

Assigned Project Code & issued Award Letter to;
- Staff
- c.c. Dean, Faculty
  c.c. DVC, Academic Affairs
  c.c. GHRO
  c.c. GFO

End

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6.0   High Impact Research Awards

6.1   Purpose

- As an incentive to motivate UCSI University academia towards achieving excellence in the fields of Research and Development through the Annual High Impact Research Awards.

6.2   General Rules, Regulation and Guidelines

- The Awards are only for full-time UCSI University staff and those under the UCSI University Staff Training Scheme. Visiting, adjunct, post-doctoral staff, Vice Chancellor, and Deputy Vice Chancellors are not eligible to apply.

- The Awards are for achievements conducted from 1st January to 31st December of the previous year.

- Award applications must be complete and done online by the applicant himself/herself.

- All applications must be supported with documented evidence and submitted to the CERVIE. Incomplete evidence documented applications will not be entertained.

- The deadline for application submission is 5.00pm on 31st January of the year of application. Late submissions will not be entertained.

- For efforts involving multiple co-workers, the application must be submitted by only one in the group. Should submission by multiple co-workers be detected, the application would be disqualified automatically.

6.3   Categories
There are two categories of High Impact Research Awards:
6.3.1   High Impact Publication Award
6.3.2   Research Grant Award

6.3.1   High Impact Publication Award

- Only completed research papers will be considered. Publications such as abstracts, letters to editors, etc. are not eligible for consideration. Only papers that show that the author is affiliated to UCSI University qualify to be considered. Papers submitted should be evidenced by Off Print, Galley Proof or Letters of Acceptance from the publisher. The paper should have the name, the author's affiliation, and the year the paper is to be

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published. If the letter from the publisher does not contain all these information, please submit it for consideration in the following year.

- Only papers that appear in the journals listed in the http://www.ucsiuniversity.edu.my/cervie/index.asp are eligible for consideration for the Award. The journals in the list can vary from year to year as they are determined in the following manner:

For the field of Science, journals (approx. 7500 titles) that appear in the latest ISI Journal Citation Report, Science Edition, have been divided into 171 disciplines with the top 15% of each discipline (according to the impact factor) identified. Please note that Psychology and Psychiatry are listed under Social Science/Arts.

For the field of Social Science/Arts, journals (approx. 2300 titles) that appear in the latest ISI Journal Citation Report, Social Science Edition, have been divided into 58 disciplines with the top 40% of each discipline (according to the impact factor) identified.

- The value of each Award is RM3000 for each research paper. The award is subjected to EPF and income tax regulations.

- If there are co-authors who are not from UCSI University, the value of the Award will be divided by the total number of authors and only those attached to UCSI University will be given their respective share.

- Top 10 papers will be selected from the submission.

6.3.2 Research Grant Award

- The Award is for any research grant obtained from outside sources and not those from UCSI University. Also the Grant received must be channelled through the University.

- The value of the Award is equivalent to 3% for the first RM500k received, 2% for the next RM500k and, 1% for the rest. This applies only to the value of the grant apportioned to UCSI University.

- If there are co-researchers who are not from UCSI University, the value of the Award will be divided by the total number of researchers and only those attached to UCSI University will be given their respective share.

- The money awarded is subjected to any EPF and taxes terms and regulations.

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