5.0 UCSI RESEARCH EXCELLENCE & INNOVATION GRANT

This manual serves to provide a clear and comprehensive guideline regarding the application and management of the internal research fund, the Research Excellence & Innovation Grant (REIG), offered by UCSI University to all academic staff.

5.1 Objectives and Definition

5.1.1 Objectives of Funding

a. To promote research culture at UCSI University
b. To support the academic staff in initiating their research at UCSI University
c. To encourage researchers to further apply for an external research grant

5.1.2 Definitions

Under these Guidelines:

"Research Excellence & Innovation Grant (REIG)" is a research grant provided by UCSI University for its researchers to conduct research with the potential for commercialisation.

"Research" refers to a research project conducted by a researcher with funding granted to UCSI University researchers under REIG with the goal of generating novel knowledge.

"Researcher" refers to an academic staff who conducts the said research project.

"Principal Investigator (PI)" refers to the UCSI University research project leader who has applied for and been awarded with the research grant.

"Co-PI" refers to the researcher who has been appointed by the PI upon agreement by members of the research team to be responsible for the research project while the PI is away or unavailable, as when necessary requested by the PI.

"Co-researcher" refers to both internal (UCSI University) and external (university, industry and government) research members who carry out the research project.

"REIG Panel" refers to the committee appointed by CERVIE and chaired by the Director of CERVIE to evaluate the proposal application, progress monitoring and the final report of a REIG project. The members of the REIG panel should consist of professors or associate professors.

“Undelivered project” refers to:

- An uncompleted research project by a researcher who has left the University
- Failure in submission of progress reports and/or the final report after expiry of the project duration by the research team
- Failure in utilisation of the funds granted for the project by the research team

“Delayed project” refers to a research project that is not completed within the approved duration.

“Completed project” refers to a research project that is completed with its expected research deliverables whereby the PI submits the following documents to CERVIE:

- Project Closure Checklist (FORM/CERVIE-01/10)
- Progress Report (FORM/CERVIE-01/05)
- Final Report Form (FORM/CERVIE-01/06)
- Full final report in the format of a manuscript (FORM/CERVIE-01/09)
- Final account statement
- Research Equipment Itemisation Checklist (FORM/CERVIE-01/08)

“Allowance for sampling or field work” refers to travelling expenses incurred in the course of conducting the research and sample collection.

“Telecommunication and stationery” refer to communication and stationery expenses incurred in the course of conducting research.

“Laboratory consumables” refers to expenses incurred when purchasing supplies in the course of conducting research, which includes chemical reagents, glassware, biological resources and other consumables related to the research project.

“Professional services” refers to any expenses incurred when paying for services throughout the course of conducting research.

“Research deliverables” refers to the outcome of the study in the form of, but not limited to, scientific manuscript; book or book chapter (under review, accepted, or published); human capacity building, which are the undergraduate and postgraduate students; infrastructure building; intellectual properties (including patent, copyright, trademark); creative output; impact to society.

5.2 Research Cluster

REIG supports all original research ideas which fall under the following clusters:

a. Pure and Applied Sciences
b. Technology and Engineering
c. Clinical and Health Sciences
d. Social Sciences and Humanities
e. Arts and Applied Arts
f. Natural and Cultural Heritage
g. Information and Communication Technology

5.3 Selection Criteria

Applications should fulfil the following criteria:

a. The REIG application submissions will be evaluated every February and July.
b. The REIG application submissions requesting research funds shall not be more than **RM50,000** per project for research clusters related to science, technology and engineering; and not more than **RM25,000** per project for research clusters related to social sciences and humanities, and the creative/performing arts.
c. REIG is open to all academic staff who is a Professor, Associate Professor, Assistant Professor or Lecturer to be a PI.
d. The duration of the REIG project should not be more than 24 months.
e. The research project submitted is expected to propose new ideas, to be of scientific relevance and national importance, to be able to expand the current knowledge, contribute to staff research development, and the advancement of the discipline(s).
f. Upon receiving the REIG applications, a REIG panel consisting of at least two members, appointed by CERVIE, will evaluate the research proposal and make recommendations and comments on the evaluation form (FORM/CERVIE-01/02a).
g. The research team will be given not more than **30 days** to amend and resubmit the proposal based on the comments made by the REIG panel. Failure to resubmit the revision in a timely manner, the application will be considered dropped. Upon revision, the final approval shall be made by the Director of CERVIE based on the recommendation of the reviewers and revisions made by the respective researchers.

5.4 Terms and conditions of REIG approval

a. 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.

b. The research must be original and must 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).
c. The PI and co-researchers should indemnify UCSI University from any losses as a result of his/her actions, failure, and negligence or otherwise, in whatsoever manner that will result in any losses to the University.
d. A co-PI must be appointed for the research project.
e. The research project must be completed within **24 months**. Application for extension for up to but not more than 6 months may be considered after careful evaluation by the appointed panel of the project progress report. However, project extensions can only be granted ONCE.
f. The PI can only hold one project under the REIG at any one time. Existing REIG PIs can apply for a new REIG project provided that 75% of the progress of the existing project has been completed (with the progress report evaluated by the appointed REIG panel and endorsed by the Director of CERVIE).
g. The management of research project and funding utilisation of the REIG is subject to the Malaysian Code of Responsible Conduct in Research (MCRCR), and UCSI's finance policy.
h. For collaborative projects, should the research team be unable to complete the research due to any of its members' resignation, it is the PI's responsibility to ensure the continuity of the research project either by including a new research member from the University or another external collaborator. If the original PI resigned, the "Co-PI" of the research project will take over the role as PI. Any unjustifiable reasons for project termination by the PI will affect future REIG applications. The final decision is made at the discretion of the DVC of Research and Postgraduate Studies, upon recommendation by the Director of CERVIE.
i. At least one SCOPUS/ISI/WOS/ERA/MyCite indexed journal (either under review, accepted or published), or at least one product of creative output (in the form of IP including patent filing, copyright, trademark, etc), book or book chapter, product, performance, project) for arts and/or applied arts projects is required to be produced by the end of each REIG project.
j. Researchers should be responsible for the care of any laboratory equipment used in the said project. In the event of negligence or misuse, the university reserves the right to request for compensation from the researcher.

k. To encourage the transfer of knowledge between institutions, participation by external associates as co-researchers is possible.

The process of the REIG application is provided in Appendix B.

5.5 Eligibility

This grant is open to all full time permanent or contract academic staff of UCSI University. In the event that the PI is not a confirmed staff, at least one co-researcher must be a confirmed full-time staff of UCSI University. If the PI is a contract staff with a contract expiry date of less than one year from the date of application, the co-PI must be a confirmed permanent staff or a contract staff with a contract expiry date of more than one year.

5.6 Disbursement

a. CERVIE has the right to withhold the payment/disbursement of the grant whether in part or full, and/or to request for the scope of work to be undertaken again upon recommendation of the appointed REIG panel, if it is found that the researcher has not performed his/her obligations and/or responsibilities or in an acceptable manner in completing the project.

5.7 Progress Report

a. The PI is required to submit project progress reports once every six months upon project initiation. A call for submission of progress report will be made every February and August.
b. The progress report will be evaluated by the appointed REIG panel, and endorsed by the Director of CERVIE, based on the recommendation of the REIG panel (FORM/CERVIE-01/02b).
c. Failure in submitting the progress report in a timely manner will result in the suspension of grant disbursements.
d. The project progress report form is attached as seen in Appendix 1 (FORM/CERVIE-01/05).
e. The latest finance account statement of the REIG project **must** be attached during the submission of the progress report.

5.8 Monitoring Progress

a. The REIG monitoring process will be carried out by the appointed REIG panel on a half-year basis. REIG projects that do not show progress at a satisfactory level may be terminated upon recommendation by the panel. In the event of such project termination,

the respective PI and co-researchers would be barred for 24 months from making any REIG applications.

5.9 Completion of Project

a. Upon completion of the project, the PI is required to submit the final report to CERVIE for acknowledgement.
b. The final report shall contain:
    - Project Closure Checklist (FORM/CERVIE-01/10)
    - Progress Report (FORM/CERVIE-01/05)
    - Final Report Form (FORM/CERVIE-01/06)
    - Full final report in the format of a manuscript (FORM/CERVIE-01/09)
    - Final account statement
    - Research Equipment Itemisation Checklist (FORM/CERVIE-01/08)
c. CERVIE will issue an acknowledgement letter to confirm the completion of the research project. A notification will be given to the Group Finance Office, and the said research account will be automatically closed within 3 months upon notification.
d. A REIG project is considered unclosed or undelivered, as recommended by the REIG panel, if the research deliverables are not achieved as promised. The respective PI will be barred from making any REIG applications (as PI, co-PI) for 24 months.

5.10 Change of Research Team Member, Project Handover or Termination

a. In the event that the PI decides to resign and leave the University, a three-month advanced notice must be given to CERVIE.
b. The PI will be required to hand over the project to his/her co-PI and co-researchers. Otherwise, the PI is required to complete the project before leaving the University. The procedure of the handing over of an ongoing REIG project would include a formal request made by the PI to CERVIE in the changing of the PI's name by nominating the co-PI of the said REIG project together with the recommendation of the respective dean, and agreement from all other existing co-researchers (FORM/CERVIE-01/16).
c. In the event where the researcher fails and/or is found to have neglected to undertake the scope of work in a truly professional manner based on expectations of the University and its collaborator institution, the project may be terminated, upon discussion and recommendations made by the REIG panel.

5.11 Commercialisation Interest

a. Any decisions on research output commercialisation must be made with the express consent of UCSI University.
b. The main criterion for the commercialisation of Intellectual Property developed by UCSI University staff is to provide the highest benefit to the public.
c. All matters concerning commercialisation of research outputs funded by the REIG are subject to the UCSI University Policies and Guidelines on Intellectual Property Rights and Commercialisation.

5.12 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.

5.13 General Finance / Budget Regulation

- Vote 11000: **Salary & Wages**
  Allowance for research fellow ranged from RM1,100 – RM1,800 per month (Refer to Appendix A for the criteria/qualifications required for the maximum allowance per month permissible to the Research Fellow)
- Vote 21000: **Travelling & Transportation**
  Not more than 10% of the Grand Total
  Only allowed for travelling such as in field trips.
- Vote 24000: **Rental**
  Rental for equipment or software is allowed. Justifications for rental must be provided.
  Payment for space/facility rental at any institute is not allowed.
- Vote 27000: **Research Materials & Supplies**
  Research materials and supplies
  Stationeries are not allowed
- Vote 29000: **Professional Services / Consultancy**
  Not more than 10% of the Grand Total
  Article processing charge is allowed (for SCOPUS, ISI, WOS, ERA, and MyCite indexed journals only) or fee of the product related to the production of the creative output
- Vote 35000: **Accessories & Equipment**

Equipment (which includes analysis software) of not more than RM5,000. Quotations must be provided. Assets belong to the University at the end of the project. Strong justification must be provided with the approval from the Dean. Electronic devices may be considered with strong justification provided and with the approval from the dean.

Application for vote virement is allowed once for every REIG project and is subject to approval by the Director of CERVIE (FORM/CERVIE-01/17).

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

1. REIG Application Process
2. REIG Application Form (FORM/CERVIE-01/01)
3. Project Evaluation Form (FORM/CERVIE-01/02a)
4. Progress Report Evaluation Form (FORM/CERVIE-01/02b)
5. Project Progress Report (FORM/CERVIE-01/05)
6. Project Final Report (FORM/CERVIE-01/06)
7. Research Equipment Itemisation Checklist (FORM/CERVIE-01/08)
8. Project Closure Template (FORM/CERVIE-01/09)
9. Project Closure Checklist (FORM/CERVIE-01/10)
10. Change of Principal Investigator and Research Team Members (FORM/CERVIE-01/16)
11. Application for Vote Virement (FORM/CERVIE-01/17)

Appendix A: Proposed range of allowance for Research Fellow based on the qualifications/merit at the time of application.

No.	Qualifications/Merits	Maximum Allowance/Salary Per Month (RM)
1.	Bachelor Degree Holder with 2nd Class Lower Honours (CGPA of < 3.00)	
	(i) With No Journal Publication/Research Output	1100
	(ii) With minimum **ONE** Journal Publication/Research Output*	1300
2.	Bachelor Degree Holder with 2nd Class Upper Honours (CGPA of 3.00 - 3.66)	
	(i) With No Journal Publication/Research Output	1300
	(ii) With minimum **ONE** Journal Publication/Research Output*	1500
3.	Bachelor Degree Holder with 1st Class Honours (CGPA of ≥ 3.67)	
	(i) With No Journal Publication/Research Output	1500
	(ii) With minimum **ONE** Journal Publication/Research Output*	1800
4.	Master/PhD Degree Holder	
	(i) With No Journal Publication/Research Output	1500
	(ii) With minimum **ONE** Journal Publication/Research Output*	1800

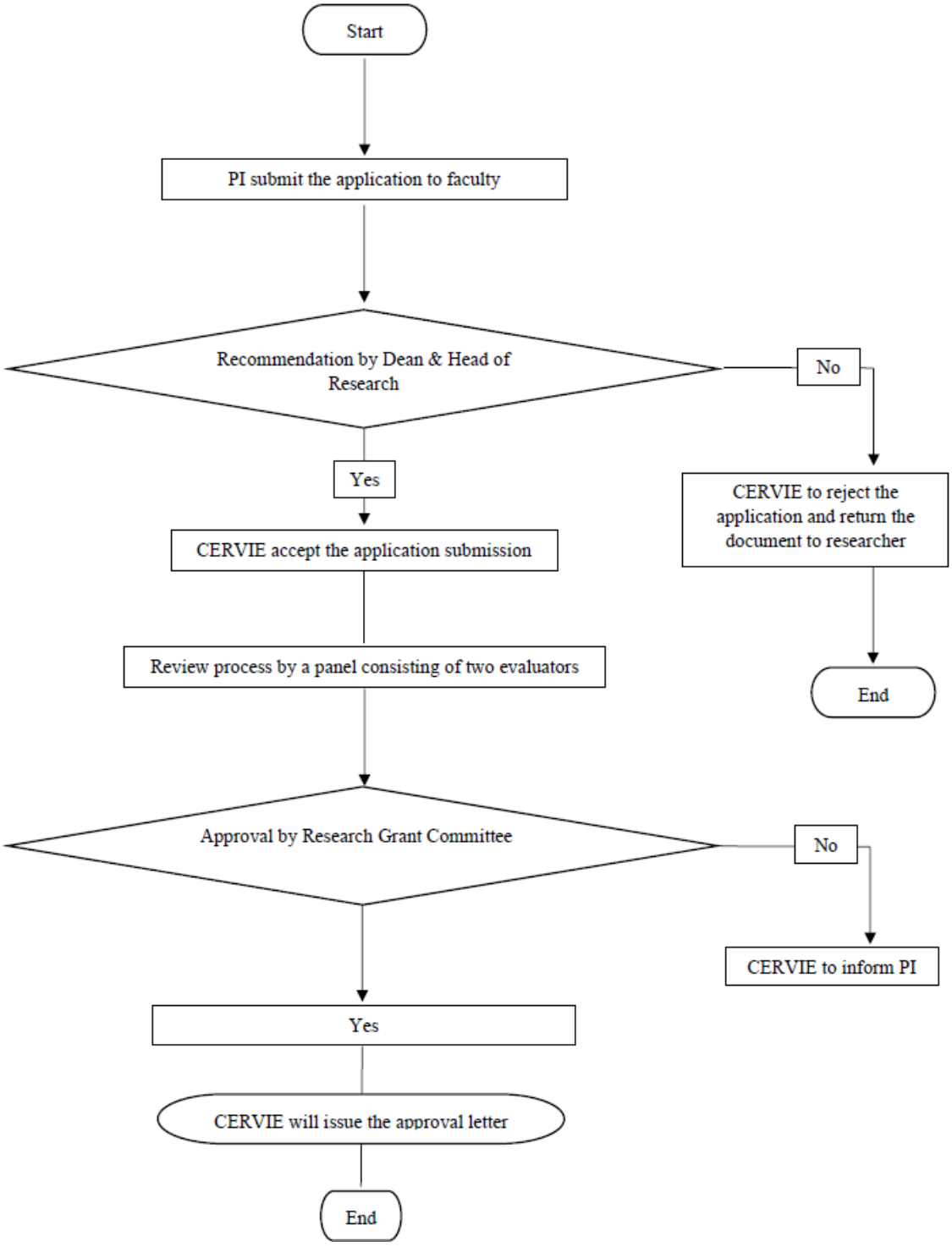
*The Journal Publication includes Research and Review Article/Short Communication and must be indexed in **SCOPUS/WOS/ISI** or recognized by **Australian Business Deans Council/Chartered Association of Business Schools** for Business and Management field.

*Research Output includes Patent, Copyrights, Trademarks, Industrial Design.

#The above serves as a guideline for the allowance/salary setting for Research Fellow recruitment, exception will be considered on case-by-case basis with strong justification by REIG PI and strong recommendation by Deputy Vice-Chancellor of Research and Postgraduate Studies.

Postgraduate students granted with allowance are required to assist in teaching with the following arrangement:

Tuition Fee Waiver (Trust)	Monthly Stipend (Trust)	Monthly Stipend (Internal Grant)	Monthly Stipend (External Grant)	Min. Teaching Hours per week	Max. Hours per week (Teaching and Administrative)
Yes	Yes	No	No	6	20
Yes	No	Yes	No	6	20
Yes	No	No	Yes	3	10
No	No	Yes	No	3	10
No	No	No	Yes	0	0

Note: Teaching is referred as lecture/ practical/ tutorial.

Appendix B: REIG Application Process