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# RESEARCH AND DEVELOPMENT POLICY & GUIDELINES

(UCSI UNIVERSITY)

<sup>\*</sup> 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**

Version:	Date:	Approved By:	Next Review Date:	Remark:
01	19/05/2010	University Council	2011	
02	16/11/2011	University Council	6 months	
03	12/07/2012	Senate RSA	6 months	
04	17/10/2012	University Senate	6 months	
05	24/10/2012	Senate RSA	6 months	
06	16/01/2013	University Senate	6 months	
07	27/3/2013	University Senate	6 months	
08	19/11/2014	University Senate	1 year	Main revise and revamp at Section 5.0 and 6.0
09	02/09/2015	University Senate	1 year	Main revise and revamp at Section 4.0 and 6.0, Add in Section 7.0
10	22/02/2017	ТММ	2 years	Main revise and additional of Consultancy Policy
11	23/05/2018	University Senate		Main revise and revamp at section 4.3
12	21/11/2018	University Senate		Main revision at Section 5.0
13	06/01/2020	ТММ	2 years	Main revision at Section 5.0
14	04/10/2023	ТММ		Main revision at Section 5.0, 6.0 and 7.0.

## Responsibility

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Policy Owner:	CERTRE OF EXCELLENCE FOR RESEARCH, VALUE INNOVATION AND ENTREPRENEURSHIP (CERVIE)
Managed by:	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.

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 Research Excellence & Innovation Grant
- 6.0 Protected Research Time Policy And Guidelines
- 7.0 Consultancy Policy

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

## Note:

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.
- 1.12 Please refer to the UCSI University Guidelines for Human and Medical Ethics, Guideline for the Care and Use of Animals for Scientific Purposes and Guideline for Institutional Biosafety in the separate documents.

#### 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 (copyright, patents, trademarks, industrial designs, geographical indications) 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 Research and Postgraduate Studies. 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
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.



#### 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

#### 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 full time and permanent or contract academic staff with ongoing and/or completed research projects and papers affiliated with any Faculty at UCSI University, whose works/abstracts 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). Academic staff who wish to present their papers (undertaking PhD/MSc or Professional Diploma at other Institution) is not eligible to apply for conference funding, unless the applicant is the corresponding author for UCSI University.

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 academician. 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. Subsequent application for international conference can only be considered after proof of publication acceptance in Scopus Indexed/ ISI/ WOS/ ERA.



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.

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.

#### 4.5 Submission

All applications have to be submitted in advance to the Centre of Excellence for Research, Value Innovation and Entrepreneurship (CERVIE), Office of the DVC Research and Postgraduate Studies together with recommendations from the respective Dean and Chair of the Faculty RSA Committee via the Integrated Information Systems (IIS). The approval of the Conference Funding is subject to confirmation of the acceptance letter from the conference organiser and has to be submitted to CERVIE before the conference date. The completed applications are to be vetted and endorsed by CERVIE. CERVIE may seek suitable advice from the Senate RSA Standing Committee and an external member on the application.

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

• Conferences abroad: Three (3) months

## 4.6 Conference Funding Assessment (at Faculty Level)

To ensure the maximum outcome and professional development obtained by staff scientists, as well as the advancement of the discipline, the Dean and the Chair of the Faculty RSA

Committee upon receiving the Conference Funding Form (CFF) will make recommendations and remarks based on the following criteria:

- Conference organizers and scientific programmes
- Relevance and contributions to Staff Research Development
  - 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.
- 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
  - o Plans to disseminate the findings, in addition to the conference presentations

## 4.7 Conference Funding Assessment

CERVIE reserves the rights for making final recommendation on the application based on the information given and the comments made by the HOD/Dean.

#### 4.8 Notification of Approval

An official IIS 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.

#### 4.9 Publication Recommendations

Staff awarded for funding to conferences abroad (exceeding RM2,500) is required to submit the paper to a refereed journal. It is compulsory for the conference paper (either oral or poster) to be accepted for publication within ONE (1) year from the conference date, in journal(s) indexed with Scopus; or ISI impact factor.

## 4.10 Knowledge Sharing

Staff scientists who have presented in national conferences are required to share their knowledge at their respective **faculty level**, and a hardcopy and softcopy of the conference proceedings, together with the written report of knowledge sharing session, should be submitted to CERVIE. The report of knowledge sharing session should consist of attendance



list of audience, and a copy of the power point presentation. For conference abroad, it is required to organize a knowledge sharing session / research seminar at the **University level** (staff and students) upon returning from the conference. The staff is expected to share with the audience, the outcome of the particular study (oral or poster) and the potential linkages and collaborations made in during the conference.

#### 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 Pl.
- 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 Pl'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 Pl resigned, the "Co-Pl" of the research project will take over the role as Pl. Any unjustifiable reasons for project termination by the Pl 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 halfyear 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 2 <sup>nd</sup> Class Lower	
	Honours (CGPA of < 3.00)	
	(i) With No Journal	1100
	Publication/Research Output	
	(ii) With minimum <b>ONE</b> Journal	1300
2.	Publication/Research Output*  Bachelor Degree Holder with 2 <sup>nd</sup> Class Upper	
۷.	Honours (CGPA of 3.00 - 3.66)	
	(i) With No Journal	1300
	Publication/Research Output	4500
	(ii) With minimum <b>ONE</b> Journal Publication/Research Output*	1500
3.	Bachelor Degree Holder with 1st Class Honours	
	(CGPA of ≥ 3.67)	
	(i) With No Journal	1500
	(i) With No Journal Publication/Research Output	1500
	(ii) With minimum <b>ONE</b> Journal	1800
	Publication/Research Output*	
4.	Master/PhD Degree Holder	
	(i) With No Journal	1500
	Publication/Research Output	1300
	(ii) With minimum <b>ONE</b> Journal	1800
	Publication/Research Output*	

<sup>\*</sup>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.

#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.

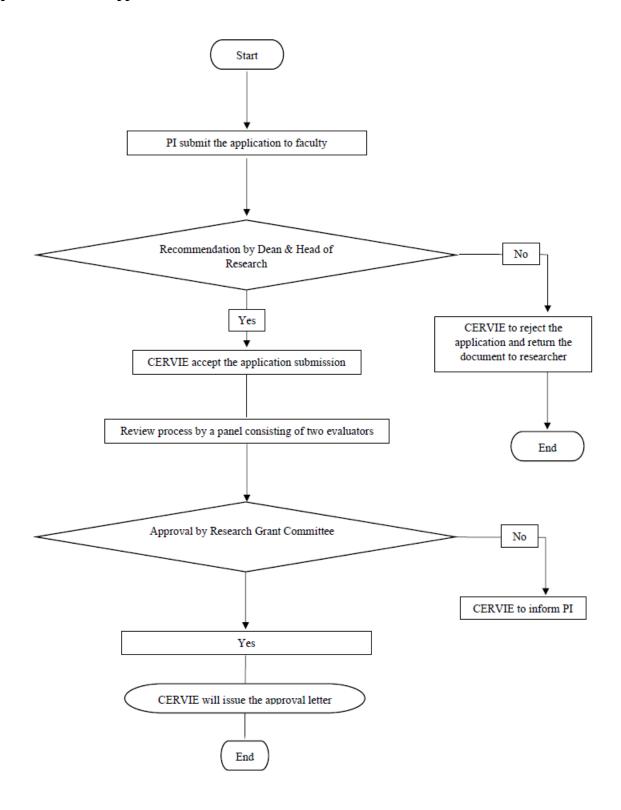
<sup>\*</sup>Research Output includes Patent, Copyrights, Trademarks, Industrial Design.

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** 



#### 6.0 PROTECTED RESEARCH TIME POLICY AND GUIDELINES

#### 6.1 Protected Research Time

Protected Research Time (PRT) is the time one spends conducting research and protected from other academic or administrative duties. Protected research time is opened to all academic staff with flexibility provided in the balance of teaching and research responsibilities.

## 6.2 Purpose

- i) To encourage active research culture in UCSI University
- ii) To increase the research output in UCSI University
- iii) To increase number of postgraduate students by research in UCSI University

## 6.3 Criteria for Eligibility

The PRT is directed to those who have strong academic and research background, have successfully met the criteria below and with access to all of the accompanying facilities.

- i) Full time academic staff with 5-day work week arrangement
- ii) Principal investigator holding at least one external research grant **OR** academic staff who has demonstrated good track record in publication achievements in the previous year
- iii) Co-researcher who has an external research grant, or showing evidence of collaborating with institutions outside UCSI University
- iv) Quantum for each research grant Sciences (min RM 25,000) OR Non-Sciences (min RM 10,000)

#### 6.4 Duration

- i) Morning session: 9 am 1 pm/ Afternoon session: 2 pm 6pm
- ii) One session for grant of RM 25,000 for Science projects OR one session for grant of RM 10,000 for Non-Science projects
- iii) Max 4 sessions per week for principal investigator
- iv) Max 2 sessions per week for co-researcher
- v) Only researchers with on-going active external grants are eligible to apply, eligibility ends if the grant is closed
- vi) The PRT sessions granted can only be re-scheduled at the beginning of each semester, with approval of the Dean and Head of Research

- vii) The PRT approved based on grants and publications shall not exceed 2 days (or 4 sessions) per week.
- viii) Additionally, all academic staff will be automatically eligible for 1 self-development day (SDD) per week. This 1 SDD benefit is cumulative on top of the PRT sessions above.
- ix) SDDs are defined as off-campus flexible working days dedicated to all academic staff to enhance various aspects of their skillset including but not limited to activities such as research collaboration meetings, networking, laboratory work, publication and proposal writing, and so on.

Publication KPI Achievement	Number of Days of Remote Work in a Week
Hit publication KPI	1 day (or 2 sessions)
Hit 2x or higher publication KPI	Max 2 days (or 4 sessions)

## 6.5 Approval

Application must be supported by the Dean and Head of Research and approved by the CERVIE (RMC) Director. Grant award letter, list of publications and other supporting documents must be submitted together for approval.

## 6.6 Measurement of Outputs/ performances measure

The purpose of the measures in the section below is to track and improve research outcomes, including productivity and compliance/integrity.

## 6.7 Categories of measures: in general to achieve up to 30% increase in the measures below.

- a) Research publication
- b) Conference proceeding
- c) Human capital Postgraduate student
- d) Human resources training co-researchers and research assistant
- e) Resources Research funds (private/ public; national/ international)
- f) Intellectual property (IP)/ trademark/ commercialisation/ know-how technology
- g) Networking
- h) Leadership
- i) Input to policy (national/ international)
- i) Reference centre

## 6.8 Impact on Faculty and University

Increase faculty and university research outputs.



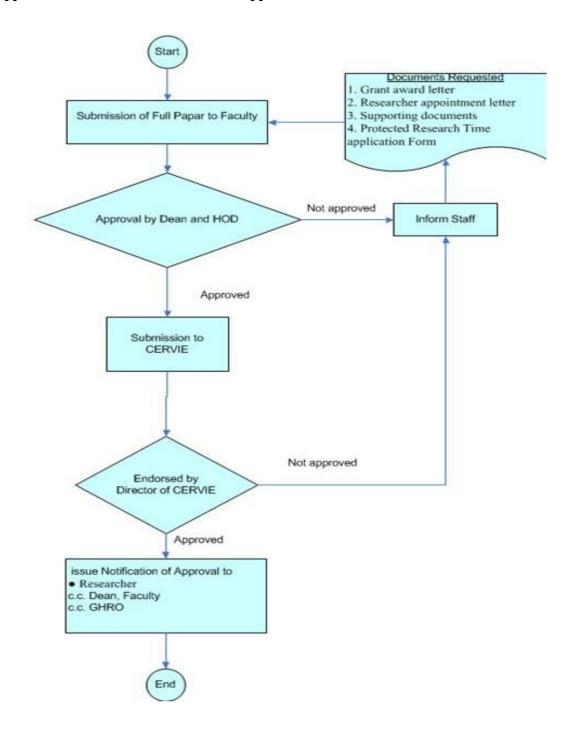
## 6.9 Supporting Documents (can be downloaded from the CERVIE Public Folder)

Appendix C: Protected Research Time Application Flowchart

Appendix D: Protected Research Time Form



Appendix C: Protected Research Time Application Flowchart



## **Appendix D: Protected Research Time Form**

## APPLICATION FOR FLEXIBLE WORKING HOURS/RESEARCH PROTECTED TIME FORM (UCSI University Flexible Working Hours Policy/ Research Policy)

	Personal Par Name : Staff ID : Faculty :	ticulars		
Ιν	vould like to ap	oply for flexible w	orking hours as b	elow:-
Pe	eriod		:	(please provide start and end dates)
Da	ay & Time			(2)
(e.	.g Mondays; 1	0am-1pm)		(4)
			(5)	(6)
Pι	ırpose (pleas	e tick):-		
1.	Research a.	☐ Title of Researd	ch	:
	b.	Grants (Interna	l & External)	:
				:
	C.	Duration of Res	search	:
	d.	Place of Resea	ırch	÷
	e.	Research Tear	n Members	:
	Note: T	o submit a copy	of the research pr	roposal with Gantt chart
2.	Postgraduat	e Studies		
	a.	Programme		:
	b.	Institution		:
	C.	Duration (provi	de dates)	:
3.	Others $\square$			
	a.	Activity		:
	b.	Duration (provi	de dates)	:
No	ote: I understa	and that this giver	n flexible working	hours can be discontinued at the discretion of the Management.
<b>N</b> o	ote: The aboveeds of the Fa	re candidate is gra aculty/Centre/Insti	anted the flexible tute, e.g., teachin	ector (Please refer next page for justification) working hours accordingly as per information recorded herein. All other ng, exams, student counselling, etc. have been taken into consideration and will not disrupt the requirement(s) of the Faculty/Centre/Institute.
Na	ame:			Date
GI	HR Office Use	e only		
Re	ate Received eceived by ame			

For Head of Research Use Only				
Head of Research's comments:				
Protected Time: Recommended Not Recommended				
	Date: dd / mm / yyyyy			
Name:				
For Dean Use Onl	у			
Dean's Comments:				
Protected Time: Recommended Not Recommended				
	Date: dd / mm / yyyy			
Name:				
For CERVIE Use C	Only			
Comments & Decision of UCSI CERVIE				
Comments:				
Protected Time: Recommended / Not Recommended				
Frotested fillie. Recommended / Not Recommended				
Sessions(s) approved:				
	Date: dd / mm / yyyy			
Director of CERVIE				



#### 7.0 CONSULTANCY POLICY

This policy outlines the framework, by which UCSI can provide flexible opportunities for staff to undertake consultancy work, the expectations, when and how such work may be undertaken. This policy does not include any provision for personal consultancy undertaken in the staff capacity.

This policy also sets out UCSI's role in support of staff engaging in consultancy work and is a general guideline of how the consultancy activity will be managed by the University.

#### **TERMS USED IN POLICY**

**University** UCSI University

**Consultancy** Professional Work carried out on behalf of a third party utilizing knowledge

expertise of members of staff and may or may not include the use of facilities and University resources. Detailed definitions is contained in

section 2.0

**Consultant** Members of UCSI staff involved in carrying out Consultancy

**Consultancy Fee** Amount received by the Consulting staff for his/her professional services per project and does not include any direct and service costs incurred in carrying out the consultancy projects.

#### 7.1 OBJECTIVES

- 7.1.1 Encourage academic staff participation in consultancy work which brings opportunitues and benefits to the University, its academic staff and clients.
- 7.1.2 Encourage cooperation and collaboration between the University, the public sector and private sector/industry to keep abreast of developments and innovations in industry and the profession.
- 7.1.3 Enhance the stature of the University academic staff to expand and enhance staff professional competency.
- 7.1.4 Provide a flexible management framework to cover the range of consultancy work opportunities available to the academic staff of the University governing the use of University resources and facilities.

#### 7.2 IMPLEMENTATION

7.2.1 This policy is applicable to all academic staff of the University undertaking the consultancy project.

#### Note:

The Vice-Chancellor & President is empowered to make exemptions from any section of this Policy as deemed appropriate.

The decision of the Vice-Chancellor & President on all matters regarding the interpretation of this Policy, or any matter or matters wherein this Policy does not cover, is final.

#### 7.3 DEFINITION OF CONSULTANCY

- 7.3.1 Consultancy work adopts the form of a comprehensive term referring to the entire range of services that may be provided by staff to commercial, government of other clients in broader community.
- 7.3.2 A single consultancy instance refers to an activity that involves a person or a group of people giving specialized or expert service to another party that requires such service, usually with payment for that service.
- 7.3.3 For the purpose of this Policy, Consultancy does not include the following activities:
  - 7.3.3.1 Refereeing of journals, books and the like;
  - 7.3.3.2 Occasional professional contribution to the media;
  - 7.3.3.3 Occasional external lectures, broadcasts, exhibitions and the likes;
  - 7.3.3.4 Examining for other educational and professional bodies;
  - 7.3.3.5 Unpaid membership of committees; and
  - 7.3.3.6 Community service and liaison work.
- 7.3.4 Consultancy activities covered by the definition in Clause 3.1 shall **include** but not limited to the following:
  - 7.3.4.1 Contract research via MoA with the company
  - 7.3.4.2 Professional practice;
  - 7.3.4.3 Specific paid functions such as expert witness;
  - 7.3.4.4 Development of new product/ technique/ information that will be of use to client;



- 7.3.4.5 The production of commissioned artwork, software or musical composition;
- 7.3.4.6 Paid formal programs including short courses, workshops etc.

#### 7.3.5 What constitutes consultancy:

- 7.3.5.1 Academic staff engaging in work and services undertaken by a team
- 7.3.5.2 May or may not involve use of University facilities, spaces, resources or infrastructure where relevant, costs may be charged
- 7.3.5.3 Consultancy must not establish real or potential conflict of interest with the University in any form
- 7.3.5.4 Staffs are to be given professional indemnity insurance policy engaging Company (third party) to cover potential damages or losses that may arise as a consequence of his/her involvement in the consultancy work.

#### Conditions:

- 1. Any activities that may constitute a conflict of interest with the terms of employment are prohibited.
- 2. Consultancy must not, impinge on the academic staff member's duties as set out in the job description contract unless prior approval from the Dean is obtained.
- Staff may be involved in unpaid community or recreational activities that are not related directly to their professional commitment to UCSI in such circumstance, this policy does not apply.

#### 7.4 PERMISSION FOR CONSULTANCY WORK

- 7.4.1 Employees appointed to academic teaching and research positions on tenured term are eligible to undertake consultancy work and are subject to the terms outlined in this policy where formal approval has been granted.
- 7.4.2 Approval for academic to be involved in and carry out consultancy work is required in the form or written approval from the Faculty or with the Dean's approval.

#### 7.4.3 Conditions for consideration;

- 7.4.3.1 Does not interfere or adversely affect the academic staff's ability to perform his/her teaching and other official duties;
- 7.4.3.2 Capacity to widen the knowledge and experience of academic staff in his/her specialized field;



- 7.4.3.3 Period of consultancy should not be more than 1 day per week and not exceed sixty (60) working-days in total in a calendar year, after which may be negotiated in a monthly extension basis, subject to the Dean's approval.
- 7.4.3.4 The academic staff concerned is committed to complete the consultancy work within the stipulated time frame or as mutually agreed by both parties or before completion of contract with the University, whichever comes first

#### 7.4.4 Others:

- 7.4.4.1 Maximum allowable period of consultancy is subject to the approval of the respective Dean or Director. No claim from the university is allowed.
- 7.4.4.2 The proposed timing and the length of time allocated per session for the consultancy must be agreeable to the Head of Department and the Dean of the staff member so as not to interfere with the staff's teaching duties.
- 7.4.4.3 Proposal for consultancy work obtained by the academic staff personally must be referred to Faculty as prior to submitting the proposal to the client.
- 7.4.4.4 All payments relating to the consultancy work must be made through the University and subsequently disbursed to staff via Group Finance.

### 7.4.5 External Industry Research Grant Overhead Fee

- 7.4.5.1 All external industry research grants (excluding consultancy fee amount) will be subjected to an overhead fee.
- 7.4.5.2 All overhead fee charges will be levied upon based on the project's agreed disbursement schedule.
- 7.4.5.3 Overhead fee charges are based on the total grant amount awarded to the University according to the following schedule:

External Industry Research Grant	Overhead Fee (%)	
Amount (RM)		
< RM20,000.00	10% (5% Faculty + 5% CERVIE)	
RM20,000.00 - RM100,000.00	7% (3.5% Faculty + 3.5% CERVIE)	
> RM100,000.00	5% (2.5% Faculty + 2.5% CERVIE)	

Purpose of overhead fee is to supplement:

- i) Operational costs of University resources, equipment and facilities
- ii) General maintenance, calibrations and servicing expenses
- iii) Administrative costs, including expenses related to processing, printing, duty stamping, personnel, etc.



#### 7.5 DISTRIBUTION OF INCOME FROM CONSULTANCY WORK

The distribution of income from consultancy work shall be according to the following schedule:

Consultancy Fees	Fees to University	Fees to Consultant
< RM20,000	10%	90%
RM20,000 – RM40,000	15%	85%
RM40,001 – RM100,000	20%	80%

#### Note:

Consultancy Fee is the amount received by the Consulting staff for his/her professional consultation services <u>per project</u> and does not include any direct and indirect service incurred in carrying out the consultancy projects.

- 7.5.1 Consultancy fees should be capped at <u>RM100,000</u> per project, beyond which the remaining of the grant will be paid to the University. Payment to consulting staff shall be made progressively.
- 7.5.2 All direct and indirect costs such as facilities, rentals, cost, insurance etc should be borne by the external party requiring the said consultancy.

#### 7.6 RESPONSIBILITY AND ACCOUNTABILITY

- 7.6.1 Regulations and Governance:
  - 7.6.1.1 Private Higher Education Institution Act 1966,
  - 7.6.1.2 The Companies Act 1965,
  - 7.6.1.3 Occupational Safety and Healthy Act 1994 (ACT514),
  - 7.6.1.4 University's Term and Conditions of Employment for Staff and any other relevant acts and regulations;
- 7.6.2 Responsibilities of Consultant:
  - 7.6.2.1 Implement the consultancy contract according to the terms of the consultancy contract outline in this policy.
  - 7.6.2.2 Carryout his/her work with the highest quality output and within the time stipulated;
  - 7.6.2.3 Ensure that he/she is adequately covered by appropriate insurance from liabilities arising from the said contract;

- 7.6.2.4 Sign a letter of indemnity with the University regarding any liability arising from any party in carrying out consultancy work; and
- 7.6.2.5 Ensure that there is no conflict of interest with University interests when undertaking Consultancy and must not make use of University facilities, logo, name, and resources unless duly declared and disclosed.

#### Note:

Staff involved in consultancy work is not allowed to surrender his/her right or sub-contract his/her consultancy work.

#### 7.7 INTELLECTUAL PROPERTY RIGHTS

- 7.7.1 Intellectual property rights arising from the consultancy work shall be subject to:
  - Relevant provisions on employee inventions or copyrightable works under Patent Act 1983 and Copyright Act 1987;
  - In accordance with the National Intellectual Property Policy (NIPP) and Intellectual Property Commercialization Policy for Research and Development funded by the Government of Malaysia (June 2009) prepared by the Ministry of Science, Technology and Innovation (MOSTI); and
  - In line with the Malaysian Code of Responsible Conduct in Research

Per MOSTI Policy, 3 key issues to be considered in deciding ownership of IPR include whether:

- Invention created during employment
- Invention commissioned by the employer
- Invention made use of employer resources

Source: Ramli, N. and Zainol, Z.A., 2014. Intellectual Property Ownership Model in Academia: An Analysis. Journal of Intellectual Property Rights, 19, pp.177-188

In all cases, <u>Joint IP ownership</u> may be accorded for all inventions, improvements or discoveries which are made by employees of University in the following circumstances:

- Part of the performance of the work undertaken, and each party may enjoy all rights and privileges accorded ownership of such joint property belongs to the Company, not the University without accounting to the other.
- 2. Work undertaken without utilizing the University's resources while under employment does not belong to the University.



7.7.2 However, specific provisions in the agreement negotiated with the client company (if any) may applicable conflicting clauses in the University Intellectual Property Policy.

#### 7.8 APPLICATION PROCEDURES

- 1. Fill up the Application Form available.
- All applications complete with recommendations from the relevant, Dean/Director shall be submitted to CERVIE which shall make its recommendation to the Vice-Chancellor and President for consideration and approval.
- 3. Consultancy project greater and equal to RM 10,000 is required to be presented to Top Management meeting for approval.
- 4. CERVIE shall notify the applicant of the outcome of his/her application.
- 5. Staff shall not commence the consultancy prior to the written approval of the application from the Dean/Director.
- 6. All payments between the Consulting Staff and the Company shall be made directly to the Division of Finance and disbursed through the Division upon notification by the Consulting Staff to invoice the Company
- 7. The consultant shall receive payment for consultancy fee through the submission of the University claims Form available to CERVIE. CERVIE shall advise the Group Finance Office of the appropriate payment to be made.

## 7.9 NON-COMPLIANCE

- 7.9.1 Staff found abusing the university's reputation, resources or their association with the University for Private, Undeclared Or Unauthorized Consultancy Work shall be considered to be in breach of their contract of employment with University.
- 7.9.2 Failure to comply with this Policy may subject the academic staff to the disciplinary actions of the University.
- 7.9.3 The University reserves the right to pursue recovery of any losses and damages to which the University is subjected to as a result of a breach of this Policy.
- 7.9.4 The University may by written notice, terminate the arrangement / agreement for consultancy work with immediate effect if the Consultant is no longer under employment or becomes unavailable to deliver the consultancy work.
- 7.9.5 The University shall not be liable to the company for any indirect, consequential losses or any loss of profits or liability arising directly or indirectly from this breach of agreement.

## 7.10 REMARKS

- 7.10.1 The University reserves the right to the policy at any time but all on-going consultancies shall not be affected. This is only applicable to confirmed staff.
- 7.10.2 Where consultancy work undertaken is duly declared, the University shall not be held responsible for the lecturer when consultancy work is done outside the University.
- 7.10.3 Staff member undertaking consultancy work shall be accessible to the University's full range of services including financial and legal advice and on-going support.

## **APPENDIX E**

## **UCSI UNIVERSITY CONSULTANCY FORM**

A. CONSULTANT DETA	AILS	
Consultant Name:		
Faculty/Centre:		
Co-Consultants:		
B. CONSULTANCY CA	TEGORY	
University Consultancy	<i>y</i> :	□YES
1	commended by the Dean and recognized as outstanding	□YES
	commensurate to consultancy work and contribute to	□NO
Academic Excellence for	or a period of 1 year.	
C. PROJECT DETAILS		
Project Title:		
Company/Partner:		
Company/Partner		
Website:		
Registration Number		
& Business Sector:		
Duration:		
Proposed Start Date:		
Proposed End Date:		
Description of work	OBJECTIVES:	
to be undertaken:		
Project Deliverables:		
Estimated Resource		
Usage:		
		T
	s with the terms and conditions as stated in the	☐ YES
has been duly informe	and where additional coverage is required, the Insurer	□NO
•		
D (i) CONTRACT VALUE	` ,	
D (ii) PAYMENT SCHED	ULES:	
Before Project Starts:		
At End of Project:		
NA a matholic	D84.	
Monthly:	□ RM:	

D (iii) ACCESS TO UNIVERSITY'S EQUIPMENT AND/OR MATERIAL, if any:				
Equipment	Location			
Equipment	Location			

E	CONSULTANCY COST			
	Please indicate your cost for this project and details of expenditure, itemize each category			
	Category	Total (RM)		
	Salary and Wages			
	Travelling, lodging and Subsistence			
	Rentals			
	Project Materials and Supplies			
	Minor Modifications and repairs			
	Equipments			
	Professional Services			
	Consultation Fees:			
	(i) Fees to Consultant			
	(ii) Fees to University (Refer to the			
	Consultancy Policy on the percentage)			
	Indirect Costs			
	TOTAL AMOUNT			
	<u> </u>			
F. DE	ECLARATION BY APPLICANT (PLEASE TICK)			
I here	by declare that:			
	All information stated here are accurate a     to reject or to cancel the offer without	and complete. The University has the right		

F	. DECLARATION	N BY APPLICANT (PLEASE TICK)
ı	hereby declare t	hat:
	<b>1.</b>	All information stated here are accurate and complete. The University has the right
		to reject or to cancel the offer without prior notice if there is any inaccurate
		information given.
	<b>2.</b>	I further declare that the Project will not conflict with the interests of the
		University and will not interfere the performance of my duties with the University
		Applicant Signature:
		Name:
		Staff ID:
D	ate:	Faculty:

G. Faculty Approval				
Head of Praxis, Industry and Community Engagement (PICE)/Head of Research				
	Recommended			
	Not Recommended			
		Signature:		
		Name:		
Date:		Faculty:		
Dean				
	Supported			
	Not Supported			
		Signature:		
		Name:		
Date:		Faculty:		
11 /:\ ENDO	DCCRACNIT O ADDDOVAL	/Consultancy Dusingt 4 DNA 10 0001		
		(Consultancy Project < RM 10,000)		
	Endorsed			
	Not Endorsed			
		Cignoturo		
		Signature: CERVIE Director		
Data				
Date:		Name:		
	Approved			
	Not Approved			
	ιτοι Αρριονου			
		Signature:		
		Deputy Vice-Chancellor (Research and Postgraduate)		
Date:		Name:		
Date.		Name:		
H. (ii) APPR	OVAL (Consultancy Pro	iect ≥ RM 10.000)		
	Approved	7227		
	Not Approved			
		Signature:		
		Vice-Chancellor		
Date:		Name:		
Juic.		- Tallie		