



**RESEARCH MANAGEMENT CENTRE
INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA**

**IIUM RESEARCH ENDOWMENT FUND
POLICY AND GUIDELINES**

1. OBJECTIVE

The objective of the IIUM Research Endowment Fund guidelines is to provide information with regards to the management of research grants and other matters related to research. It is intended as a source of reference to academic staff, research coordinators, and research committees at the Kulliyah / Center / Division / Institute (K/C/D/I) and Research Management Centre.

2. RESEARCH AREA

Areas of research for the IIUM Research Endowment Fund are:

- a. Pure and Applied Science
- b. Technology and Engineering
- c. Clinical and Health Sciences
- d. Social Sciences and Humanities
- e. Arts and Applied Arts
- f. Natural Sciences and National Heritage

3. RESEARCH FUND

The IIUM Research Endowment Fund consists of the following funds:

- a. Research Endowment Fund Type A (EDW A)
Maximum funding RM5,000.00
- b. Research Endowment Fund Type B (EDW B)
Maximum funding RM20,000.00
- c. Graduate School of Management Research Fund (GSMRF)
Maximum funding RM20,000.00
(Eligible for Kulliyah of Economics & Management Sciences staff only)



4. DURATION OF PROJECT

Research projects shall be completed within a period of 12 months (EDW A) and 24 months (EDW B / GSMRF) from the approval with up to 6 months extension (**subject to a good progress report**).

5. ELIGIBILITY

5.1 Categories of staff who are eligible

5.1.1 Full-time members of academic staff

5.1.2 Academic Fellows

5.2 Categories of staff who are not eligible

5.2.1 Academic staff on study leave and no pay leave

5.2.2 Assistant lecturer / Trainee lecturer

5.3 However, academic staff on salary grade of DG i.e. CELPAD / CFS lecturers shall be considered on case by case basis for Research Endowment Type A (EDW A) only.

5.4 Research Endowment Type A (EDW A), priority is given to young researchers i.e. Assistant Professor, in order to initiate their research career.

6. APPROVING AUTHORITY

6.1 Research Endowment Fund Type A (EDW A)

Deputy Dean, Research Management Centre

6.2 Research Endowment Fund Type B (EDW B) and Graduate School of Management Research Fund (GSMRF)

Research Working Committee

7. RESEARCH AND RESEARCHERS

7.1 Roles and Responsibilities of Principal Investigators and Co-researchers

7.1.1 Principal Investigators (PI) and co-researchers should at all times conduct their research professionally, in a responsible and ethical manner.



- 7.1.2 The PI is accountable for the overall technical and fiscal management of the research project. This includes adherence to reporting requirements and ensuring that projects are managed within the approved budget and schedule.
- 7.1.3 The co-researcher is responsible to support the PI in all matters pertaining to the management and execution of the research project when necessary.
- 7.1.4 Researchers are obliged to complete all assigned and agreed upon research, and to publish findings of such research as widely as possible.

7.2 Research Integrity

- 7.2.1 Researchers, regardless of academic disciplines, are expected to be honest in their research activities. This applies to the whole range of research, including the design of research projects or experiments, generating and analysing data, applying for funding and grants, and publishing results.
- 7.2.2 Researchers are expected to uphold research integrity at all times. Specifically, researchers shall acknowledge the direct and indirect contributions of colleagues, research collaborators and others in their work and publications at all times.
- 7.2.3 Researchers are accountable to the society, their professions, the communities and K/C/D/Is where the research is taking place, the staff and students involved, and to sponsors that are funding the research.
- 7.2.4 Researchers are expected to declare and manage any real or potential conflicts of interest, both financial and professional. Areas of potential conflict of interest include:
 - 7.2.4.1 Existing or potential financial interest in the outcome of the research;
 - 7.2.4.2 Gaining a private or private practice benefit that is significantly dependent on the research outcome;
 - 7.2.4.3 Professional or personal gain arising from the research outcome may be more than usual / normal in a specific research undertaking.

7.3 Research Misconduct

7.3.1 Fabrication of data

Dishonesty in reporting results, ranging from fabrication of data, improper adjustment of results, and gross negligence in collecting or



analysing data, to selective reporting or omission of data for deceptive purposes.

7.3.2 Falsification of research

Deliberately misrepresenting research, including the progress of research, making grossly exaggerated claims of the significance of research results, falsely claiming priority by willfully ignoring prior relevant reports in research literature.

7.3.3 Plagiarism

Taking credit for someone else's work and ideas, stealing other's results or methods, omitting acknowledgement of significant contribution(s) received from others, copying the writing of others without proper acknowledgement, or otherwise falsely taking credit for the work and ideas of others.

7.3.4 Failure to acknowledge

Ignoring and failing to acknowledge the source of biological materials used in laboratory research.

7.3.5 Abuse of confidentiality

Taking or releasing ideas and data that was shared with legitimate expectation of confidentiality (e.g. use of confidential results without permission of other researchers or previous employers), stealing ideas from others' grant proposals, award applications, or manuscript publication.

7.3.6 Dishonesty in publication

Knowingly publishing material that will mislead readers (e.g. misrepresenting data, particularly its originality, misrepresenting research progress, adding the names of other authors without their permission, or including honorary authorship or excluding a major collaborator as a co-author of the paper).

7.3.7 Property violation

Stealing or destroying property of others, such as research papers, supplies, equipment or product of research.

7.3.8 Misuse of fund

Failure to spend research funds in ways consistent with the goals stated in the relevant contract documents and/or failure to maintain clear and proper records of expenditure.

7.3.9 Mistreatment of human research subjects

Failure to obtain informed consent of research informants/clinical trial patients, failure to protect the rights of informants regarding their privacy and to protect the research subject's anonymity and the confidentiality of information sources.



7.3.10 Mistreatment of animals

Failure to treat animals with care, and humaneness.

7.3.11 Failure to report known incidents of serious research misconduct

Covering up or otherwise failing to report major offences of research known to oneself; and/or

7.3.12 Retaliation

Taking punitive action against an individual for having reported alleged major research offences.

8. EXPECTED OUTPUT OF RESEARCH

8.1 Researchers are expected to publish their research output in the form of:

8.1.1 Research Endowment Fund Type A (EDW A)

One publication such as journal paper, book chapters or conference paper.

8.1.2 Research Endowment Fund Type B (EDW B) / Graduate School of Management Research Fund (GSMRF)

1) a. Minimum of 1 paper indexed in ISI / or SCOPUS

AND

b. 1 Master student

2) It is encouraged that the researcher produces a Pre-Commercialization of research work i.e. registration of intellectual property (IP) rights protection in the form of patents, certificates for utility innovation, industrial designs, copyrights etc.

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

9. APPROVAL PROCESS

9.1 Research Endowment Type A (EDW A)

9.1.1 The application for Endowment Fund shall be based on announcement. Application shall be submitted to RMC using the form provided upon getting recommendation from K/C/D/I.

9.1.2 Applications should include a co-researcher / researchers.

9.1.3 The Deputy Dean of Research Management Centre will make the final decision to approve / decline the application.



9.1.4 Approval / unsuccessful letters shall be sent to the Principal Investigator, co-researchers and respective Deans.

9.1.5 Researchers are to fill and sign the acceptance form i.e. Letter of Undertaking before embarking on the research.

9.2 Research Endowment Type B and Graduate School of Management Research Fund (EDW B and GSMRF)

9.2.1 The application for Endowment Fund shall be based on announcement. Application shall be submitted to RMC using the form provided upon getting recommendation from K/C/D/I.

9.2.2 Applications should include a co-researcher / researchers.

9.2.3 The application will be submitted to the kulliyah for evaluation;

9.2.4 The researcher will be given the opportunity to revise the proposal based on the feedback from the kulliyah's reviewer;

9.2.5 After evaluation at the Kulliyah level, the application will be evaluated at the University level;

9.2.6 The recommendation of the University reviewers will be tabled to the Research Working Committee for final decision;

9.2.7 Only highly recommended applications will be approved. Unsuccessful applications will be returned to the respective researchers.

9.2.8 Approval / unsuccessful letters shall be sent to Principal Investigator, co-researchers and respective Deans.

9.2.9 Researchers are to fill and sign the acceptance form i.e. Letter of Undertaking before embarking on the research.

10. DISBURSEMENT OF FUND

10.1 Disbursement of fund will be made in stages throughout the duration of conducting the research. Upon Letter of Undertaking (LOU) submissions, up to 25% or maximum of RM5000, of the approved grant be disbursed. However, the disbursement does not cover travelling advancement and purchasing of equipment through procurement.

10.2 By the end of the sixth month, the researcher is required to send the financial progress report.

10.3 The second disbursement of the fund will be made once the researcher produces all the original receipts of the first disbursement showing at least 70% utilization of the said disbursement and the plan for the next expenditure.



- 10.4 The researcher who fails to return unused cash advances and / or proper substantiation of financial disbursement within the maximum period of six months and / or upon completion of the research project, whichever date is earlier, will be subject to **payroll deduction**.

11. FUNDING SCOPE

11.1 Vote 11000 (Salary and wages for Research Assistant)

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

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

11.1.3 The researcher is required to submit a **copy** of each appointment letter to the Research Management Centre. The appointment letter should contain the following information:

- a) Details of Personnel (Name, Student ID, Level of Study e.g. Undergraduate, Masters, Ph.D)
- b) Rates applicable
- c) Duration of appointment
- d) Status of appointment (part-time, full time)

11.1.4 Research personnel may work on a part-time or full-time basis depending on the needs of the researcher.

11.1.5 Researchers are required to appoint, as far as possible, IIUM students on a part-time basis. However, the researcher should get prior permission from the Research Management Centre for the appointment of research assistants from outside IIUM.

11.1.6 The rates of payment to research assistants are as follows:

Rate payment allowed for Research Assistant

Research Endowment Fund (Type A and B) & MCRF		
Degree (RM)	Masters (RM)	PhD (RM)
500.00	700.00	800.00

11.1.7 Research assistants, are required to work for a minimum of 60 hours in a month. Should a research assistant not put in the minimum hours as per the above, he / she is not entitled for the full allowance. It is the responsibility of the researchers to keep a record of every research assistant's attendance.



11.1.8 Research personnel's must not be appointed from amongst members of the immediate or extended family of the researcher. Neither do staff members of IIUM qualify.

11.1.9 A foreign student appointed as a research assistant must possess a valid visa at the time of the appointment.

11.2 **Vote 21000 (Travelling, lodging and transportation)**

11.2.1 A maximum of **RM1,500.00 (Type A)** and **RM6,000.00 (Type B) / GSMRF** may be allocated for travelling expenses related to conducting research.

11.2.2 **“Travelling allowance”** means expenses incurred for travelling, inclusive of registration fee, accommodation and food in the course of travelling for conducting research, presenting conference papers or training.

11.2.3 **Air fare**

11.2.3.1 Researcher

Air travel is limited to economy class or the cheapest fare and the shortest direct routes. This is for both local and overseas travel.

11.2.3.2 Research Assistant

Research assistants are not eligible to utilize the grant for overseas travelling. However, they are eligible for local travelling but it is limited to economy class.

11.2.4 **Local Mileage**

11.2.4.1 A researcher or research assistant is encouraged to travel by air or train when the distance is more than 240km and the cost is cheaper. **Claims based on petrol receipts are not acceptable.**

11.2.4.2 Claims must be made using the current Travelling Claim Form of IIUM and the rates are as follow:

Researcher

The current procedures adopted by IIUM should be followed.

Research Assistant

RM0.50 per kilometer.

11.2.5 Lodging, hotel and food allowance

- 11.2.5.1 Food allowances are given only to those who carry out official duties outside the office for at least 24 hours from the time of departure.
- 11.2.5.2 If the researcher or research assistant carries out official duties outside the office for more than 8 hours but fewer than 24 hours, he or she is entitled half of the food allowance (daily allowance).

Researcher

The current procedures adopted by IIUM should be followed for the above allowances.

Research Assistant

The rates for researcher assistants are as follows:

Type of allowance	Rate
Lodging	RM50 per day
Hotel	RM100 per day and supported with receipts
Food	RM20 per day for local travelling

- 11.2.6 The researcher should fill up the “**Form for attending seminar/ conference/ workshop/ visit /data collection**”. The researcher may also request for advancement by filling up the “Travelling Advance for IIUM Staff”. The form is available at the Research Management Centre’s website <http://iium.edu.my/research>.

11.2.7 Overseas Travelling Approval

- 11.2.7.1 Prior approval must be obtained from the **Rector** of the University for any travelling outside Malaysia by filling in the “**Form for attending seminar/ conference/ workshop/ visit /data collection**”. The form is available at the Office of Deputy Rector (Academic and Planning) website <http://iium.edu.my/drap>.
- 11.2.7.2 Prior approval must be obtained from the Ministry of Higher Education for the following cases:
- 11.2.7.3 If the duration of the overseas trip is more than 14 days;
- 11.2.7.4 If a researcher is going for his/her third overseas trip for that particular year (includes overseas trip using sources of funding besides the research grant).



11.3 **Vote 23000 (Communication and Utilities)**

This vote means expenses incurred in the course of conducting research and includes postage and charges for telephone, telex, facsimile and cable service.

11.4 **Vote 27000 (Research Materials & Supplies)**

11.4.1 Only expenses for research materials and supplies directly related to the project should be included.

11.4.2 The purchase of chemical reagents, consumables, glassware, biological resources, academic publications and stationery should be made through the Research Management Centre. The purchasing procedure must comply with the purchasing Policies and Procedures of the University.

11.4.3 Academic publications purchased using research grant must be returned to and registered as inventory of the Kulliyah's Resource Centre or IIUM Library.

11.4.4 The researcher may claim for reimbursement from the Research Management Centre by producing original receipts for supplies already purchased using the "**Claim Application Form**" which is available at the **Research Management Centre's website <http://iium.edu.my/research>**.

11.5 **Vote 29000 (Professional services, hospitality & other services including printing)**

11.5.1 These are expenses incurred for services in the course of conducting research and they include consultation with experts, payment for enumerators, chemical analyses, data processing, editing and proofreading. Engagement of foreign expert(s) will be considered on a case-by-case basis.

11.5.2 The maximum allowance for enumerators is RM15 per questionnaire. The rate to be approved is based on the workload that has been decided by the researcher for a particular research.

11.6 **Vote 35000 (Research Equipment)**

11.6.1 A maximum of 40% of the total grant approved may be allocated for equipment.

11.6.2 Equipment and accessories, including accessories to upgrade the capability of existing equipments directly related to the project, may be purchased.



- 11.6.3 The approval to purchase equipments is at the discretion of the appropriate approving authority and is made on a case-by-case basis.
- 11.6.4 The purchase of equipment should be made through the Research Management Centre and the purchasing procedure must comply with the purchasing IIUM Financial Policies and Procedures.
- 11.6.5 The purchase of computers, notebooks, and telecommunication gadgets i.e. tablets or smart phones etc. is not allowed using this grant.
- 11.6.6 Any equipment purchased under the grant must be returned to the respective K/C/D/Is upon completion of the research project and it should be registered under the inventory policy.
- 11.6.7 Expenses advanced by the researcher can be claimed using the "Claim Application Form", which is available at the Research Management Centre's website <http://iium.edu.my/research>. Claims must be supported with the original receipts of the purchasing.
- 11.6.8 Guidelines for purchasing supplies and equipments under vote 27000 and 35000 (*adopted from the IIUM Financial Policies and Procedures and may change from time to time*) are as follows:
- 11.6.8.1 Purchase of below than RM5,000.00
- 1 original quotation
 - Complete Procurement Approval Form that has been vetted by the Kulliyah
- 11.6.8.2 Purchase of RM5,000 and above but less than RM10,000.00
- At least three (3) original quotations
 - Complete Procurement Approval Form that has been vetted by Kulliyah
- 11.6.8.3 Purchase of RM10,000.00 and above
- To call for at least five (5) original quotations
 - The purchase proposal must include an explanation of the need for the purchase
 - Approval from kulliyah (Dean/ Deputy Dean), Dean Research Management Centre, Director Finance Division and Rector
- 11.6.9 All vendors should register with the Finance Division, IIUM. Failure to do so will delay the process.



11.6.10 All expenses must be accounted for through receipts in accordance with the budget approved. The maximum amount for the allowed expenditure without receipt is RM100 for the whole duration of the research grant. The researcher is required to fill in the Non-receipts Expenses form that should be endorsed by the K/C/D/I.

12. RESEARCH PROGRESS REPORT

- 12.1 Researchers are responsible to submit progress reports to their respective Heads of Research at the K/C/D/I twice a year i.e. in **June and December**, respectively for all types of research projects.
- 12.2 The Heads of Research will submit a summary of the progress reports to RMC at the Research Working Committee Meeting (RWCM).
- 12.3 For researcher who fails to submit the progress report twice consecutively, the Research Working Committee has the right to revoke or terminate the project and retract the allocated grant.

13. RESEARCH PROJECT EXTENSION

Requests for research project extensions must be made to the Research Initiatives Unit for approval. Extension may be considered based on the progress report and clearly revised research schedule. No extension can exceed six (6) months from the expected date of completion. The approval of the extension is by the Deputy Dean, Research Management Centre.

14. END OF PROJECT REPORT

The researchers are responsible to submit the end of project report as well as the project output as mentioned in No. 8 page 5, Expected Output of Research and fill up the "List of Equipment Purchased under Research Grant form.

15. FINANCIAL REPORT

- 15.1 The researcher is responsible to prepare a financial report at the end of the project for the purpose of closing the project file.
- 15.2 The researcher is responsible to report any equipments purchased under the grant. The equipments must be returned to the respective K/C/D/Is upon completion of the research project and should be registered under the inventory policy.

16. TERMINATION

- 16.1 Projects can be terminated based on the following:
 - 16.1.1 Any false reporting by the project leader;



- 16.1.2 Any misuse of the grant provided;
 - 16.1.3 Non-performance in terms of progress;
 - 16.1.4 Variation of scope of project without getting prior approval from the University; and
 - 16.1.5 No suitable project leader as replacement of the original project leader (due to resignation, retires or demise).
- 16.2 The University shall give written notice to the Principal Researcher specifying the default and requiring the principal researcher to remedy such default within 30 days after the date of the notice. If the entity fails to remedy the relevant default within such period or such other period as may be determined by the University, the University shall have the right to terminate the agreement at any time thereafter by giving notice to the effect.
- 16.3 Upon termination of the agreement, the principal researcher shall:
- 16.3.1 Forthwith cease the project; and
 - 16.3.2 Prepare a statement of expenditure incurred and a report in a form satisfactory to the University in connection of the project including the present of its progress; and
 - 16.3.3 The University shall cease the payment of the grant or balance of payment of the grant; and
 - 16.3.4 The researcher shall pay back the money that has been paid to the researcher.
- 16.4 Termination on university interest
- Notwithstanding any provision of the research agreement, the University may terminate the research agreement by giving not less than thirty (30) days notice to that effect to the principal researcher (without obligation to give any reason thereof) if it considers that such termination is necessary for university interest, in the interest of university security or for any other deemed appropriate reason.
- For the purpose of this clause, what constitute 'university interest', 'in the interest of university security' or 'for any other deemed appropriate reason' shall be solely made and determined by the University and such determination shall for all intent and purposes be final and conclusive and shall not be open to any challenge whatsoever.
- 16.5 The approving authority for termination of research is the Dean of Research Management Centre.

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