



**RESEARCH MANAGEMENT CENTRE
INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA**

**IIUM KNOWLEDGE TRANSFER PROGRAMME - RESEARCH INITIATIVE
GRANT SCHEME (KTP-RIGS)
GUIDELINES AND PROCEDURES 2018**

1. OBJECTIVE

The objective of the IIUM Knowledge Transfer Programme - Research Initiative Grant Scheme Guidelines and Procedures 2018 is to provide information with regards to the management of this grant and other matters related to its research. It is intended as a source of reference to academic staff, research coordinators, and research committees at the Kulliyah / Centre / Division / Institute (K/C/D/I) and Research Management Centre.

2. RESEARCH CLUSTER

Clusters of research for the IIUM Knowledge Transfer Programme - Research Initiative Grant Scheme 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
- g. Information and Communication

3. RESEARCH AREA

- a. Transportation and Urbanization
- b. Environment and Climate Change
- c. Healthcare and Medicine
- d. Bio Diversity
- e. Water Security
- f. Food Security
- g. Energy Security
- h. Plantation Crops
- i. Cyber Security
- j. Nationhood, B40 and Societal Wellbeing (Values-based)
- k. Tropical Disease
- l. Islamic Finance



4. DURATION OF PROJECT

KTP-RIGS project/s shall be completed within a period of 12 months from the commencement date with up to 1 year extension (**subject to a good progress report**).

5. ELIGIBILITY

5.1 Open to ALL active academic staff with PhD qualification. Active academic staff as defined by the *Malaysia Research Assessment Instrument (MyRA) Glossary (2016 Revision)* is as follows :

- a. all academic staff including those on secondment, sabbatical leave and attending training / attachment;
- b. includes Professors, Visiting Professors, Associate Professors, Senior Lecturers, Lecturers and Research Fellows who are on salary scheme (not on honorarium basis) and perform teaching / research duties and / or services; Teachers and teaching fellows are excluded;
- c. Possessed at least Masters qualification;
- d. Those who are newly appointed must have performed their duties for at least 6 months in the year of assessment.

5.2 Only ONE application per staff;

5.3 The applicant is not on study leave;

5.4 The budget is appropriate and meets the objectives of the grant;

5.5 The project must involve transfer of knowledge and has significant impact on the target group(s);

5.6 Priority will be given to those who submit competitive proposals.

6. BUDGET

The maximum budget is RM10,000.00.

7. APPROVING AUTHORITY

Panel of Evaluators to evaluate the research proposals shall be appointed by the University with the responsibility for ensuring that the proposals support the vision and mission of the University as well as meet the guidelines of the grant.

8. APPROVAL PROCESS

8.1 The application shall be based on the announcement. Application shall be submitted to the RMC using the online application system.

8.2 The application shall include at least one (1) research partner from Community or Industry of where the applicant has no professional or personal gain. A community refers to a group of people, entity, organisation, institution



or society who share common characteristics or interests. Industry means an entity which is involved in business enterprise that offers products or services.

- 8.3 The University shall appoint a panel of evaluators to evaluate the proposals. Only recommended proposals may be approved.
- 8.4 Subject to decision of the evaluators, a researcher may be given the opportunity to revise the proposal based on the feedback from the evaluators.
- 8.5 Approval and unsuccessful letters shall be sent to the Principal Investigators, co-researchers and respective Deans.
- 8.6 Researchers are to fill-in and sign the acceptance form i.e. Letter of Undertaking before embarking on the research.
- 8.7 The registration of the research and release of fund shall be made after all the conditions set by the University are fulfilled.

9. REQUIRED OUTPUT OF THE KNOWLEDGE TRANSFER PROJECT

- 9.1 The KTP-RIGS should lead to intellectual property or properties as well as significant impact/output to the Community/Industry
- 9.2 Researchers shall acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity.

10. FUNDING SCOPE

10.1 **Vote 11000 (Salary and wages) – NOT APPLICABLE**

* Project assistants may be hired for the project and paid using the Vote 29000.

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

10.2.1 Travelling is allowed particularly for conducting the project. Local and overseas conferences are not covered under this grant.

10.2.2 **“Travelling allowance”** means expenses incurred for travelling, inclusive of mileage, accommodation and food.

10.2.3 **Air fare**

10.2.3.1 Project Member

Air travel is limited to economy class or the cheapest fare and the shortest direct routes.

10.2.3.2 Project Assistants

Project assistants are eligible for travelling but it is limited to economy class.



10.2.4 Mileage

10.2.4.1 Project Member/s is/are 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.**

10.2.4.2 Claims shall be made using the current Travelling Claim Form of IIUM and the rates are as follows:

Project Member

The current procedures adopted by IIUM shall be followed.

Project Assistants

RM0.50 per kilometer.

10.2.5 Lodging, hotel and food allowance

10.2.5.1 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.

10.2.5.2 If the project member of project 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).

Project member

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

Project Assistants

The rates for project assistants are as follows:

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

10.2.6 The project member shall fill up the "**Form for attending seminar/ conference/ workshop/ visit /data collection**". The project member may also request for advancement by filling up the "Travelling Advance for IIUM Staff" form. The form is available at the Office of the Industrial Linkages.

10.3 **Vote 24000 (Rental)**

Rental is only allowed for building, equipment, transportation and other items directly involved in the Project.

10.4 **Vote 27000 (Materials & Supplies)**

10.4.1 Only expenses for materials and supplies directly related to the project shall be included.

10.4.2 The purchase of chemical reagents, consumables, glassware, biological resources, academic publications and stationery shall be made through the Office of the Industrial Linkages. The purchasing procedure shall comply with the IIUM Financial Policies and Procedures.

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

10.4.4 The project member may claim for reimbursement from the Office of the Industrial Linkages by producing original receipts for supplies already purchased using the "**Claim Application Form**" which is available at the **Office of the Industrial Linkages**.

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

10.5.1 These are expenses incurred for services in the course of conducting the project and they include honorarium, photocopy, consultation with experts, chemical analyses, and data processing. Engagement of expert(s) will be considered on a case-by-case basis.

10.5.2 Payment for project assistants are also included under this vote.

11. **CASH ADVANCEMENT**

11.1 Disbursement of fund may be made in stages throughout the duration of conducting the project. Upon registration of the KTP-RIGS project, up to a maximum of RM5,000 of the approved grant may be disbursed as cash advancement

11.2 By the end of the sixth month, the project leader is required to send the financial progress report for account reconciliation.

11.3 A project leader 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 project, whichever date is earlier, shall be subjected to **payroll deduction**.

12. RESEARCH PROGRESS REPORT

12.1 The Project Leader is responsible to submit timely progress reports to the Office of the Industrial Linkages twice a year i.e. in ***June and December***.

12.2 The Project Leader who fails to submit the progress report, the University has the right to suspend, revoke or terminate the project and retract the allocated grant.

13. RESEARCH PROJECT EXTENSION

Requests for research project extensions shall be made to the Office of the Industrial Linkages for approval. Extension may be considered based on the progress report and clearly revised research schedule. No extension shall exceed one (1) year from the expected date of completion. The approval of the extension is made by the Director, Office of the Industrial Linkages.

14. END OF PROJECT REPORT

The Project Leader is responsible to submit the end of project report to the Office of the Industrial Linkages upon completion of his project.

15. FINANCIAL REPORT

The Project Leader is responsible to prepare a financial report at the end of the project for the purpose of closing the project file.

16. PROJECT LEADER AND PROJECT MEMBERS

16.1 Roles and Responsibilities of Project Leader and Project Members

16.1.1 Project Leader and members shall at all times conduct their project professionally, in a responsible and ethical manner in accordance with the IIUM Code of Ethics for Research, Consultancy and Publication and Staff Disciplinary Rules 2015.

16.1.2 The Project Leader is accountable for the overall technical and fiscal management of the project. This includes adherence to reporting requirements and ensuring that project/s are managed within the approved budget and schedule.

16.1.3 The project members are responsible to support the Project Leader in all matters pertaining to the management and execution of the project when necessary.



16.2 Professional Integrity

16.2.1 Project members are expected to be honest in their activities.

16.2.2 Project members are expected to uphold integrity at all times. Specifically, members shall acknowledge the direct and indirect contributions of colleagues, collaborators and others in their work and publications at all times.

16.2.3 Project members are accountable to the society, their professions, the communities and K/C/D/Is where the project is taking place, the staff and students involved, and to sponsors that are funding the project.

16.2.4 Project members are expected to declare and manage any real or potential conflicts of interest, both financial and professional. Areas of potential conflict of interest include:

- a) Existing or potential financial interest in the outcome of the project;
- b) Gaining a private or private practice benefit that is significantly dependent on the project;
- c) Professional or personal gain arising from the project may be more than usual / normal in a specific project undertaking.

16.3 Misconduct

Misconduct includes, but is not limited to:

16.3.1 **Fabrication of data** is defined as 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.

16.3.2 **Plagiarism** is defined as 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.

16.3.3 **Failure to acknowledge, in the context of biosafety**, is defined as ignoring and failing to acknowledge the source of biological materials used in laboratory research.

16.3.4 **Abuse of confidentiality** is defined as 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.

16.3.5 **Dishonesty in publication** is defined as 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).

16.3.6 **Property violation** is defined as stealing or destroying property of others, such as research papers, supplies, equipment or product of research.

16.3.7 **Misuse of fund** is defined as 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.

16.3.8 **Mistreatment of human research subjects** is defined as 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.

16.3.9 **Mistreatment of animals** is defined as failure to treat animals with care, and humaneness.

16.3.10 **Failure to report known incidents of serious research misconduct** is defined as covering up or otherwise failing to report major offences of research known to oneself; and/or

16.3.11 **Retaliation** is defined as taking punitive action against an individual for having reported alleged major research offences.

16.4 Complaint procedure

16.4.1 Allegations of misconduct made by any person about a member of the University shall be made or be referred in strictest confidence to the Deputy Rector in-charge of Research and Innovation who will determine the course of action to be followed (if any) in accordance with the provisions provided under the Staff Disciplinary Rules 2015.

16.4.2 The initiator of the allegation – who need not be a member of the University – shall be asked to set out in writing the basis for their allegation.

16.4.3 There shall be a preliminary inquiry into any allegation of misconduct to ascertain whether there is sufficient substance to the allegation as to warrant a reference to the Disciplinary Authority of the University.

16.5 Breach of Guidelines and Procedures

Where the Deputy Rector in-charge of Research and Innovation is satisfied that any project member has committed a breach of any provision of these Guidelines and Procedures, the project member shall be considered to have committed an offence and, the Deputy Rector shall report the breach to the Staff Disciplinary Authority for the appropriate disciplinary proceedings. If the project member is found guilty of a disciplinary offence under these Guidelines and Procedures, he/she shall be liable to any of the disciplinary punishment as provided by Clause 29 of the Staff Disciplinary Rules 2015.



17. TERMINATION

- 17.1 Projects may be terminated based on the following:
- 17.1.1 Any false reporting by the project leader;
 - 17.1.2 Any misuse of the grant provided;
 - 17.1.3 Non-performance in terms of progress and non-completion of the project;
 - 17.1.4 Variation of scope of project without getting prior approval from the University; and
 - 17.1.5 No suitable project leaders as replacement of the original project leader (due to resignation, retirement or demise).
- 17.2 With the exception of demise of the Project Leader, the University shall give written notice to the Project Leader specifying the default and requiring the Project Leader 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.
- 17.3 In the event of demise of the Principal Investigator, the Office of the Industrial Linkages, upon consultation with the project team members, shall decide whether to terminate the project or appoint a new Project Leader.
- 17.4 Upon termination of the agreement,
- The Project Leader shall:
- 17.4.1 Forthwith cease the project; and
 - 17.4.2 Stop utilizing balance of the grant; and
 - 17.4.3 Prepare a statement of expenditure incurred and a report in a form satisfactory to the University in connection to the project including the present state of its progress; and
 - 17.4.4 Pay back the money that has been paid for the purpose of the project.
- 17.5 Termination on University interest
- Notwithstanding any provision of the project agreement, the University may terminate the project agreement by giving not less than thirty (30)-day notice to that effect to the Project Leader (without obligation to give any reason thereof) if it considers that such termination is necessary, in the interest of University security or for any other reason deemed appropriate.
- 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.

17.6 The approving authority for termination of Project is the Director of RMC.

18. **GENERAL PROVISION**

Notwithstanding these guidelines and procedures, the Director of the Research Management Centre shall have the authority to make amendments or adjustments to any of the clauses of these guidelines and procedures whenever such action is deemed necessary in the interest of the University. A small committee shall be formed by the Director of the Research Management Centre to deliberate on the amendment(s) or adjustment(s) to be made. The Director shall notify the University Research Committee and the Senate of the amendment(s) or adjustment(s) that has (have) been made.

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