



**RESEARCH MANAGEMENT CENTRE
INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA**

**IIUM RESEARCH INITIATIVE GRANT SCHEME
GUIDELINES AND PROCEDURES 2015**

1. OBJECTIVE

The objective of the IIUM Research Initiative Grant Scheme guidelines and procedures 2015 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 AREA

Areas of research for the IIUM 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

3. DURATION OF PROJECT

Research projects shall be completed within a period of 18 months from the approval date with up to 6 months extension (**subject to a good progress report**).

4. ELIGIBILITY

- 4.1 Only ONE application per staff;
- 4.2 Open to EVERYONE who has never been Principal Investigator or who has never held any national or international research grants;
- 4.3 The applicant is not on study leave;
- 4.4 The applicant is not an academic fellow;
- 4.5 The budget is appropriate and meets the objectives of the grant.
Note: Local and overseas conferences are not covered in this grant.



- 4.6 Maximum budget is as follows :
- a) Science and Technology = RM 40,000.00
 - b) Non- Science and Technology = RM 20,000.00

5. 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.

6. APPROVAL PROCESS

- 6.1.1 The application shall be based on the announcement. Application shall be submitted to the RMC using the form provided.
- 6.1.2 Applications shall include a co-researcher / researchers.
- 6.1.3 The University shall appoint panel of evaluators to evaluate the proposals. Only recommended proposals shall be approved.
- 6.1.4 Subject to decision of the evaluators, a researcher may be given the opportunity to revise the proposal based on feedback from the evaluators;
- 6.1.5 Approval and unsuccessful letters shall be sent to the Principal Investigator, co-researchers and respective Deans.
- 6.1.6 Researchers are to fill-in and sign the acceptance form i.e. Letter of Undertaking before embarking on the research.

7. EXPECTED OUTPUT OF RESEARCH

- 7.1 Researchers are expected to publish their research output in the form of:
 - 1. For those who have indicated that the research would lead to a Master's or Ph.D in the area of research, the production of one Malaysian Master's or Ph.D student;

AND

 - 2. Generation of at least 2 SCOPUS or ISI-indexed journal articles for non-S&T and at least 4 Scopus or ISI-indexed journal articles for S&T.
- 7.2 Researchers shall acknowledge all fellow research collaborators and all sources of funding openly in any publication or publicity.



8. FUNDING SCOPE

8.1 Vote 11000 (Salary and wages for Research Assistant)

8.1.1 Only Malaysian can be appointed as Graduate Research Assistant.

8.1.2 The appointment of Graduate Research Assistant shall be made by the Research Management Centre upon recommendation of the principal investigator.

8.1.3 The researcher is required to fill-up the Research Assistant form and submit to the Research Management Centre together with the required documents which include a photocopy of the following :

- a) Admission offer letter;
- b) Identification Card;
- c) Matric Card; and
- d) Bank Account.

8.1.4 The rates of payment for research assistants are as follows:

| Degree (RM) | Masters (RM) | PhD (RM) |
|-----------------|-------------------|---------------------|
| 500.00 – 700.00 | 800.00 – 1,500.00 | 1,500.00 – 2,000.00 |

8.1.5 It is the responsibility of the researchers to keep a record of every research assistant's attendance.

8.1.6 Research assistants shall not be appointed from amongst members of immediate or extended family of the researcher. Neither do staff members of IIUM qualify.

8.2 Vote 21000 (Travelling, lodging and transportation)

8.2.1 No travelling is allowed except for conducting research. Only local travelling is allowed.

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

8.2.3 Air fare

8.2.3.1 Researcher

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

8.2.3.2 Research Assistant



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

8.2.4 Mileage

8.2.4.1 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.**

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

Researcher

The current procedures adopted by IIUM shall be followed.

Research Assistant

RM0.50 per kilometer.

8.2.5 Lodging, hotel and food allowance

8.2.5.1 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.

8.2.5.2 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 shall be followed for the above allowances.

Research Assistant

The rates for research assistants are as follows:

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

8.2.6 The researcher shall 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.



8.3 **Vote 24000 (Rental)**

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

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

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

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

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

8.4.4 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**.

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

8.5.1 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 expert(s) may be considered on a case-by-case basis.

8.5.2 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.

8.5.3 Publication fee is also included in these services.

8.6 **Vote 35000 (Research Equipment)**

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



- 8.6.2 Equipment and accessories, including accessories to upgrade the capability of existing equipment directly related to the project, may be purchased.
- 8.6.3 The approval to purchase equipment is at the discretion of the appropriate approving authority and is made on a case-by-case basis.
- 8.6.4 The purchase of equipment shall be made through the Research Management Centre and shall comply with the IIUM Financial Policies and Procedures.
- 8.6.5 The purchase of telecommunication gadgets i.e. tablets or smart phones etc. is not allowed using this grant.
- 8.6.6 The purchase of computers, notebooks and printers with strong justifications and valid reasons may be considered on a case-by-case basis.
- 8.6.7 Any equipment purchased under the grant shall be returned to the respective K/C/D/Is upon completion of the research project and it shall be registered under the inventory policy.
- 8.6.8 Expenses advanced by the researcher can be claimed using the "Claim Application Form", which is available at the Research Management Centre's website. Claims shall be supported with the original receipts.
- 8.6.9 Guidelines for purchasing supplies and equipment under vote 27000 and 35000 (*adopted from the IIUM Financial Policies and Procedures and may change from time to time*) are as follows:
- 8.6.9.1 Purchase of RM20,000.00 and below
- 1 original quotation
 - Complete Procurement Approval Form that has been vetted by the Kulliyah
- 8.6.9.2 Purchase of above RM20,000.00 and below RM200,00.00
- To call for at least five (5) original quotations
 - The purchase proposal shall include an explanation of the need for the purchase
 - Approval from kulliyah (Dean/ Deputy Dean), Director of Research Management Centre, Executive Director of Finance Division and Rector
- 8.6.10 All vendors shall register with the Finance Division, IIUM. Failure to do so may delay the payment process.
- 8.6.11 All expenses shall 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 which shall be endorsed by the K/C/D/I.

9. CASH ADVANCEMENT

9.1 Disbursement of fund may be made in stages throughout the duration of conducting the research. Upon signing the Letter of Undertaking (LOU), up to a maximum of RM10,000 of the approved grant may be disbursed as cash advancement. This advancement does not cover V11000 – Salary and Wages for Research Assistant, V21000 - Travelling advancement and V35000 - Purchasing of equipment.

Salary and Wages for Research Assistant shall be paid directly to the bank account of the Research Assistant. Relevant Travelling Advancement or Claims forms need to be filled-up if the researcher intends to utilise budget from V21000. As to purchasing of equipment, the necessary procurement form needs to be filled up.

9.2 By the end of the sixth month, the researcher is required to send the financial progress report for account reconciliation.

9.3 A 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, shall be subject to **payroll deduction**.

10. RESEARCH PROGRESS REPORT

10.1 Researchers are responsible to submit timely progress reports to the Research Management Centre twice a year i.e. in **June and December**.

10.2 For researcher who fails to submit the progress report twice consecutively, the University has the right to suspend, revoke or terminate the project and retract the allocated grant.

11. RESEARCH PROJECT EXTENSION

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

12. END OF PROJECT REPORT

12.1 The researchers are responsible to submit the end of project report as well as the project output as mentioned in clause 7 of this document to the Research Management Centre upon completion of his project.



12.2 They also need to fill up the “List of Equipment Purchased under Research Grant” form if they have purchased items using V35000. These items shall be returned to the respective K/C/D/Is upon completion of the research project and registered under the inventory policy.

13. FINANCIAL REPORT

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

14. RESEARCH AND RESEARCHERS

14.1 Roles and Responsibilities of Principal Investigators and Co-researchers

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

14.1.2 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.

14.1.3 The co-researcher is responsible to support the PI in all matters pertaining to the management and execution of the research project when necessary.

14.1.4 Researchers are obliged to complete all assigned and agreed upon research, and to publish findings of such research as widely as possible.

14.2 Research Integrity

14.2.1 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.

14.2.2 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.

14.2.3 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.

14.2.4 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:



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

14.3 Research Misconduct

Research Misconduct includes, but is not limited to:

14.3.1 **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.

14.3.2 **Falsification of research** is defined as 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.

14.3.3 **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.

14.3.4 **Failure to acknowledge** is defined as Ignoring and failing to acknowledge the source of biological materials used in laboratory research.

14.3.5 **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.

14.3.6 **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).

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

14.3.8 **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.



14.3.9 **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.

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

14.3.11 **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

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

14.4 Complaint procedure

14.4.1 Allegations of research misconduct made by any person about a member of the University shall be made or be referred in strictest confidence to the Deputy Rector who shall determine the course of action to be followed (if any).

14.4.2 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.

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

15. TERMINATION

15.1 Projects can be terminated based on the following:

15.1.1 Any false reporting by the project leader;

15.1.2 Any misuse of the grant provided;

15.1.3 Non-performance in terms of progress;

15.1.4 Variation of scope of project without getting prior approval from the University; and

15.1.5 No suitable project leaders as replacement of the original project leader (due to resignation, retires or demise).

15.2 The University shall give written notice to the Principal Investigator specifying the default and requiring the principal investigator 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.

15.3 Upon termination of the agreement,

The principal investigator shall:

15.3.1 Forthwith cease the project; and

15.3.2 Stop utilizing balance of the grant; and

15.3.3 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

15.3.4 Pay back the money that has been paid to the researcher.

15.4 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)-day notice to that effect to the principal investigator (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.

15.5 The approving authority for termination of research is the Director of Research Management Centre.

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