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## GUIDELINES FOR RESEARCH MANAGEMENT

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## 1.0 INTRODUCTION

This guidelines provide substantial guidance on application, selection, implementation and monitoring of the research fund awarded by UTeM, Ministry of Education (MOE), Ministry of Science Technology and Innovation (MOSTI) and other local and international agencies. The aim of the guidelines is to ensure that an adequate structure exists to promote and promulgate the best research practices, with an emphasis on integrity and rigour in research at UTeM. It is mandatory for all researchers to refer, obey and comply to this guidelines, which are supporting the Research Policy as well as guidelines provided by other grant providers.

## 2.0 DEFINITIONS

“UTeM”	means Universiti Teknikal Malaysia Melaka.
“Vice Chancellor”	means the Vice Chancellor of UTeM.
“DVCRI”	means the Deputy Vice Chancellor (Research & Innovation) of UTeM.
“COE”	means UTeM’s Centre of Excellence.
“CRIM”	means Centre For Research And Innovation Management.
“ERA”	means the Excellence In Research For Australia.
“ISI”	Means Thomson Reuters Web of knowledge (formerly known as ISI Web of Knowledge).
“SCOPUS”	means bibliographic database containing abstracts and citations for academic journal articles (officially named SciVerse Scopus).
“SSCI”	means Social Science Citation Index.

### **3.0 RESEARCH GRANT PROVIDERS**

UTeM shall respect and abide by the guidelines, rules or regulations, including the legal systems stipulated by the awarding body, as long as they do not contravene the national interests.

**a) National Grant Provider**

National research grant provider is the Malaysian Government which includes UTeM, Ministry of Education (MOE), Ministry of Science, Technology and Innovation (MOSTI) and other government agencies.

**b) International Grant Provider**

International research grant is defined as a research grant supported through international funds, awards and collaboration with international parties.

**c) Industrial Grant Provider**

The grant is supported by industry. Researchers are encouraged to collaborate with industries in projects which are aligned with the niche areas of UTeM.

### **4.0 RESEARCH PRIORITIES**

The research will be prioritized and be funded under the following conditions:

- a) Research that highly contributes to the Strategic Plan and Research Roadmaps of UTeM and the nation.
- b) Research that gives high impact outcome in line with the National Strategic Plan of Higher Education (known as PSPTN), National Key Result Areas (NKRA), National Key Economic Areas (NKEA) and other national agendas.
- c) Research that is capable in generating new ideas and theories, expanding the boundaries of knowledge, producing outstanding innovative products and supporting the niche of UTeM;
- d) Research that covers the impact of technology on societies and communities.
- e) Research that integrates researchers' expertise in a multi-disciplinary field and multi-faculties mode. High impact outcomes can be generated from a strategic collaborating mode.

## **5.0 PRINCIPAL RESEARCHER**

Principal researcher is the person who leads a research project. He or she should possess leadership (planning, organizing, coaching and controlling), integrity and supervisory competencies in two phases i.e: pre-application and post-approval.

### **I. Eligibility of principal researcher**

- a) Malaysia citizen. Non-Malaysia citizen is required to have a Malaysian co-researcher.
- b) Permanent academic staff (Professor, Associate Professor, Senior Lecturer, Lecturer and Teaching Engineer).
- c) Academic staff on contractual basis is required to have co-researchers with permanent status.

### **II. Capability of principal researcher**

- a) Produce quality proposal.
- b) Able to accept any comments by the evaluation panels.
- c) Manage the allocated budget with full responsibility.
- d) Synergise the capabilities of project members.
- e) Monitor and coach the project members.
- f) Adhere to the rules and regulation and comply with the following processes:
  - i. Submit Progress Report every six (6) months using specified form (UTeM/CRIM/RND/006) as requested by the grant provider.
  - ii. Keep and update research expenditures as scheduled
  - iii. Confirm any related claims from project members and appointed research students.
  - iv. Submit Project Completion Report (UTeM/CRIM/RND/010) and 5-pages Project Profile within three (3) months after the project complete.
  - v. Ensure the research project meets the expected outcomes within the project time frame.

- vi. Ensure all fixed assets and inventory are properly registered and safely stored. Once the research is completed, both fixed assets and inventory must be returned to the respective COE/Faculty following the proper documentation procedures.

## **6.0 GRANT APPLICATION**

Applying for research grants involves the following procedures:

- 6.1 Designing a quality research proposal – A winning research proposal comprises :
  - a. Members with relevant knowledge, experiences and achievements
  - b. Clear executive research summary and background
  - c. Measurable objectives
  - d. Clear methodology, project flowchart and research milestones
  - e. Clear connection between research objectives, methodology, milestones and activities presented on a Gantt Chart
  - f. Clear expected high impact outcomes
- 6.2 Application Form – A standard application form and guidelines are provided on the website of the grant provider. It is mandatory for applicants to comply with rules and regulations. The requested budget must be specified and aligned with the proposed research needs.
- 6.3 Proposal Evaluation – All grant applications will be vetted by the COE and University Evaluation Panel. The revised and final versions of the applications will be endorsed and approved by the DVCRI.
- 6.4 Agreements – Upon approval, the principal researcher must confirm the acceptance of approved grant. Budget refinement according to the approved allocation must be done using a specific form (UTeM/CRIM/RND/002),
- 6.5 Audit – All successful grants application from any grant providers must be reported to CRIM for records of achievement and audit purposes.

## **7.0 BUDGET VOT ALLOCATION**

The budget allocation under each VOT must comply with the guidelines provided by the grant providers.

### **7.1 Travel and Transportation (VOT21000)**

- a. Budget for attending high impact conferences, seminars, research discussion, research training and registration fees (if any) as stated in research proposal.
- b. Representatives (the principal researcher and co-researchers) are allowed to go abroad for presenting papers in conference and conducting other related activities subject to the budget allocation. Travel by flight is limited to the economy class using the shortest direct route by either Malaysian Airlines System (MAS) or any other low fare airlines.
- c. The allocation shall not exceed 40% of the total applied budget, or other regulation defined by the grant provider.

### **7.2 Rentals (VOT24000)**

- a. Subject to rental for building space, equipment, transportation and any other items directly related to the project can be included.
- b. Researchers are allowed to rent any licensed equipment/software from other research institutions deem relevant for the research.

### **7.3 Research Materials and Supplies (VOT27000)**

- a. Only expenses for research materials and supplies directly related to the project can be included. These expenses include:
  - i. Books and other reading materials;
  - ii. Consumables
- b. All books purchased must be registered with UTeM library and comply with library regulations.
- c. All research grants will not support any subscriptions. Suggestion on subscriptions must be done via UTeM library.

#### **7.4 Minor Modifications and Repairs (VOT28000)**

- a. Only expenses for minor modifications and repairs of laboratory equipment or any other items directly related to the project can be included.
- b. Cost of maintenance of existing equipment used during the duration of the project period can also be included.
- c. Cost of maintenance of any equipment purchased will not be borne by UTeM (or any grant providers) after the project is completed.
- d. Modification and repair for personal usage using the grant is strictly prohibited.

#### **7.5 Salaries and Allowances for Research Assistance (VOT29000A or VOT11000)**

- a. Only Principal researcher is allowed to appoint a research personnel such as Graduate Research Assistant (GRA), Research Assistant (RA), Student Research Assistant (SRA) or Enumerator when deem necessary. Details are provided in the Research Assistance Guidelines.
- b. The salary/allowances rate must follow the Bursary's Circulars and/or according to agreement between the principal researcher and the research assistant
- c. The allocation cannot be used for any types of tuition fees.

#### **7.6 Special Services (VOT29000B)**

- a. Only services directly related to the project can be included such as:
  - i. Research consultancy services
  - ii. Data collection or enumerator charges
  - iii. Proofreadings services
  - iv. 1 professional membership of national/international body (max RM300.00)
  - v. Other research related activities
- b. Engagement of expertise from other universities or industries is allowable subject to the approval of DVCRI.
- c. All services under this category must be itemized in the proposal.
- d. The allocation shall not exceed 10% of the total applied budget, or other regulation defined by the grant providers.



### **7.7 Fixed Assets (VOT35000)**

- a. Items (including computer hardware) with a value of RM3,000.00 and above and software with a value of RM5,000.00 and above are considered as fixed assets.
- b. Any purchase of accessories that are necessary to upgrade the capability of existing equipment and are directly related to the project is allowed.
- c. Researchers are encouraged to share research facilities and avoid any under-utilised R&D equipment.
- d. A justification for the purchase of specialized equipment/software must be given. The principal researcher has to provide information on the availability of such equipment/software and why it cannot be used or shared.
- e. Applicants need to provide justifications, specifications, quotations and estimated costs for all proposed asset that need to be purchased.
- f. The funding for inventory and fixed assets should not exceed 40% of the total project budget allocation.

### **7.8 Inventory (VOT36000)**

- a. Purchasing of research items up to RM3,000.00 and software up to RM5,000.00 are considered as inventories.
- b. Purchase of accessories to upgrade the capability of existing equipment is allowed.
- c. Software that need to be purchased must be specified and justified.
- d. Researchers are encouraged to share existing items/software/hardware of UTeM.
- e. The funding for inventory and fixed assets should not exceed 40% of the total project budget allocation.

## **8.0 CLAIM PROCEDURES**

### **8.1 General Rules**

- a. All expenditures must comply with items listed in the approved research proposal and adhere to the purchase procedure based on the Bursary's Circulars.

- b. All claims must be submitted to CRIM using the UTeM/CRIM/RND/003A form with the original receipts/invoices/documents attached together.
- c. For non-itemized cash purchases, the receipts must be enclosed with justification using the UTeM/CRIM/RND/011 form.
- d. Items which are not listed in the research proposal must get prior approval from Director of CRIM using the specified form (UTeM/CRIM/RND/003B).
- e. Principal researcher must be aware of the total expenditure breakdown to avoid the occurrence of overspending problem. The principal researcher is liable for the overspending matters.
- f. Principal researcher must submit the final claim using an appropriate form (UTeM/CRIM/RND/003A) within two (2) months before project completion,
- g. The registration of fixed assets and inventory will be made under the name of the principal researcher.
- h. Book purchased must be registered using the form UTeM/CRIM/RND/017
- i. Any kind of payment to UTeM staff are not allowed except under the contract/services research mode and defined in the research proposal.

## **8.2 VOT 21000 (Travelling And Transportation)**

- a. Only travelling expenses related to the project are allowed (BEN.UP.002i and BEN.UP.002ii)
- b. For any loss of original receipts or invoices depending on the type of grants, a written explanation letter must be endorsed by the Head of COE/Dean of Faculty/Director of CRIM.
- c. An approval letter from the Vice Chancellor must be attached together with the claim's form for travelling overseas.

## **8.3 VOT 27000 (Research Materials And Supplies)**

- a. For any expenditure with the value of RM1,000.00 and above, the researcher must apply for the local order before purchase.
- b. For any expenditure with the value less than RM1,000.00 the researcher can make direct purchase via invoice and claim for reimbursement.

#### **8.4 VOT 28000 (Minor Modifications, Repairs)**

- a. Expenses are allowed for minor modifications and repairs related to the research project subject to the justification and approval of the research proposal.
- b. Supporting document “KEW.PA-14” of the asset must be attached with the claims.

#### **8.5 VOT29000A (Allowance For Research Assistance)**

- a. The vot is referred as VOT11000 on grants funded by Ministry of Education.
- b. Claims related to Research Assistance can be referred to the Guidelines of Research Assistance
- c. The claims must be attached with supporting documents. (UTeM/CRIM /RND/005 and UTeM/CRIM/RND/003A)
- d. Appointment letter and extension (if any) is also required.

#### **8.6 VOT29000B (Consultation And Professional Services)**

- a. Evidence of approval on services from the DVCRI or director of CRIM are required. Any services are not allowed to resume before approval.
- b. Evidence of other completed services must be attached with the claims.
- c. Claims can be made only to the publications in any citation-indexed journals ISI, SCOPUS, ERA and UTeM's Journals. Evidence of publication must be attached.
- d. Claims for Enumerator must use the form UTeM/CRIM /RND004B.
- e. Claims for Consultation Fees must use the form UTeM/CRIM /RND/004C.

#### **8.7 VOT35000 And VOT36000 (Inventory And Fixed Assets)**

- a. All purchases must follow the Bursary's Circulars.
- b. Purchase worth RM1,000.00 to RM10,000.00 must be made through Local Order and researchers are advised to provide a minimum of two (2)

quotations. Researchers must make the purchase request through CRIM in order to receive supplies/services until the local order is issued.

- c. Purchase worth RM10,000.00 and above must also be made through Local Orders and researchers are advised to provide three (3) quotations, unless the company is the sole distributor for a product intended for purchasing. A confirmation letter of sole distributorship from the supplier must be attached.
- d. For all purchases amounting to RM1,000.00 and above, the applicant must fill in the Equipment Specification BEN/UPE/001 form. The purchase approval will be displayed on the Integrated Finance Information System, known as SMKB.
- e. Fixed asset items must be registered through the Fixed Asset Registration KEW.PA-2 form during the payment application.
- f. Inventory items must be registered through the Inventory Registration KEW.PA-3 form during the payment application.
- g. Direct Purchases of software or any items from abroad must follow and comply with the Bursary's Circulars and Rules, and subject to the CRIM approval.

## **9.0 ADJUSTMENT OF RESEARCH**

### **9.1 Virement of VOT**

- a. Virement of VOT21000 and VOT29000A are controlled by CRIM only for UTeM grant. The allocation is according to the approved/ceiling amount.
- b. Virement of VOT21000 and 29000 must use the UTeM/CRIM/RND/007B form while other VOTs must use the UTeM/CRIM/RND/007A form.
- c. Virement of VOT allocation between multiple university grant is allowed but payment is made only from one grant. Approval by CRIM is made for asset only based on case by case basis.

## **9.2 Additional Allocation**

- a. Principal researchers must try to absorb any increase in the budget within the same VOT, or they can transfer surplus funds from one VOT to another under the same research grant. Alternatively, they should try to trim their resources to work within the approved grant.
- b. Application for an additional budget must be made using the UTeM/CRIM/RND/008 form with strong justification to the DVCRI for consideration.

## **9.3 Unlisted items**

- a. The purchasing of items which are not listed in the research proposal must get a prior approval from the Director of CRIM using the appropriate form UTeM/CRIM/RND/003B

## **9.4 Project Extension**

- a. Application for research extension can be made one (1) month before the expiry date using the UTeM/CRIM/RND/009 form. Application is allowed only once and the duration must not exceed six (6) months.

## **9.5 Change of Principal Researcher / add co-researcher**

- a. The principal researcher is required to officially inform the Faculty/CRIM through a letter if any additional co-researcher is needed.
- b. The principal researcher can only surrender the research grant with appropriate reasons eg. to further his/her studies, take sabbatical leave, leave UTeM or be on medical leave using an appropriate form, UTeM/CRIM/RND/012.

## 10.0 PROJECT REPORT

CRIM will monitor and evaluate all research projects through the following methods:

### a. Progress Report

A Project Progress Report must be submitted every six (6) months by using the appropriate form provided by the grant provider (UTeM/CRIM/RND/006).

### b. Completion Report

A Project Completion Report together with Attachment A : A Project Profile (UTeM/CRIM/RND/010) must be submitted to CRIM within three (3) months after project complete.

## 11.0 PROCEDURES FOR ATTENDING CONFERENCES/SEMINARS

- 11.1 A principal researcher must ensure that the balance of VOT21000 is sufficient to cover all conference related expenses.
- 11.2 Principal researchers, co-researchers and GRA are entitled to participate in any local/international paper presentations in established seminar/workshop/conference/symposium.
- 11.3 Overseas paper presentation (ASEAN countries only for UTeM research Grant) is allowed only once for principal researchers or co-researchers subject to the availability of the allocation under VOT21000 during the period of the project. The Registrar form must be attached to any application for overseas presentation.
- 11.4 An overseas trip is allowed if the researcher has published at least one (1) indexed journal in the previous year.
- 11.5 Application to attend a conference/seminar/symposium must be made using the UTeM/CRIM/RND/013 form together with supporting documents i.e. the seminar brochure and paper to be presented. The form must be sent to CRIM at least three (3) weeks before the conference date for conference organized in Malaysia and two months for conference organized outside Malaysia.
- 11.6 A report covering the attendance/participation and paper publication in the proceedings of the seminar/conference/workshop must be submitted to CRIM within four (4) weeks after the event using the UTeM/CRIM/RND/014 form.

11.7 Evidence of publication must be sent to CRIM before making any conference/publication claims.

## **12.0 PROCEDURES FOR PUBLICATION**

All research grants must support publications in journals and proceeding indexed by SCOPUS and ISI, listed in ERA as well as in UTeM's journals and books.

12.1 All publications must have affiliation with UTeM.

12.2 All publications must acknowledge UTeM and grant providers together with grant reference number (if any).

12.3 Researchers who have no research grant and intend to publish in Scopus and ISI indexed journals can apply for a specific fund from CRIM using the UTeM/CRIM/RND/015 form. Evidence of publication and indexing must be submitted to CRIM within four (4) weeks after the acceptance.

12.4 Publication in the proceedings of a conference/seminar in absentia will be dealt in a case by case basis.

12.5 UTeM does not encourage researchers to publish paper in 'on-line open journal' that requires payment without undergoing the peer-review process.

## **13.0 PROCEDURES FOR INTELLECTUAL PROPERTIES APPLICATION**

13.1 Submission of an application must be made using the UTeM/CRIM/RND/016 form.

13.2 Intellectual properties application must be vetted (where appropriate) at UTeM's level by the Intellectual Property Technical Committee, chaired by the DVCRI.

## **REFERENCES**

Guidelines For University Short Term Research Grant (version 1, 2011)

Guidelines For University Short Term Research Grant (version 2, 2012)

Garis Panduan Skim Geran Penyelidikan FRGS KPT

Garis Panduan Skim Geran Penyelidikan ERGS KPT

Research Policy and Guidelines KUTKM (2006)

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