RESEARCH BRIEFING TO HEADS OF RESEARCH: TOGETHER WE ACHIEVE MORE

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30 AUGUST 2021

PURPOSES:

- To enlighten HoRs on the processes, procedures and policies in managing grants
- To improve communication between HoRs and RMC officers

Presentation Outline

Our Teams & Responsibilities

Job scope of Heads of Research

Guidelines and Procedures in Grant Management

THE TEAMS

DrAA RMC 30 Aug 2021

Grant & Financial Management

Dr Adlina Ariffin

Deputy Director

Ext: 4632

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Nurain bt Mohd Zuber

Admin. Officer

Ext: 5022

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Suzanah Umar

Senior Exec. Officer

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Siti Sarah Marzuki

Senior Admin. Asst.

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GMU TEAM IN RMC KUANTAN

- Assoc. Prof. Dr. Widya Lestari
- Sr. Mastura Abd Wahab
- Sr. Su'aidah Abu Mansor

Roles & Functions

- Monitor research progress of grants from various funders

- Monitor utilization of grants

- Monitor and approve research activities

  ➢ Research extension

  ➢ Research completion

  ➢ Appointment of GRAs

- Monitor and approve research achievement

  ➢ Publications

  ➢ Talent

  ➢ Intellectual Property

- Handle financial matters pertaining to:

  ➢ Claims

  ➢ Advancement

  ➢ Procurement

- Prepare reports to various funders

- Organise workshops and briefing sessions to research staff and researchers on the management of grants

- Organise research clinics and personalized sessions for research projects which face some difficulties

JOB SCOPE OF HEADS OF RESEARCH

GUIDELINES AND PROCEDURES IN GRANT MANAGEMENT
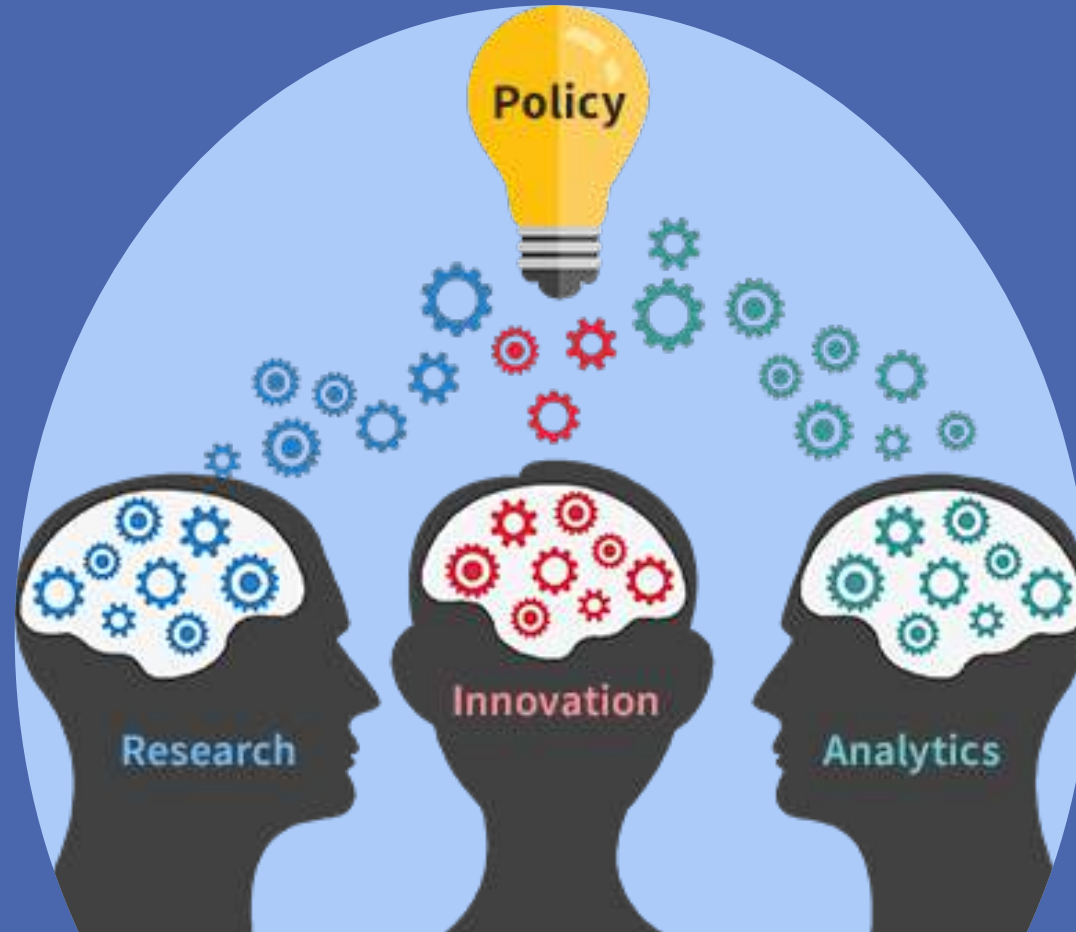
THE COMPONENTS

1 Management of Research Project

2 Management of Finance and Procurement

3 Monitoring of Research Project

4 Roles, Responsibility, Integrity and Etiquette

1 MANAGEMENT OF RESEARCH PROJECT

TYPES OF GRANTS

FUNDER	NAME OF GRANTS
MOHE	FRGS / FRGS (RACER)/RAGS / TRGS / LRGS / NRGS /
MESTECC	E-SCIENCE / TECHNO FUND
UNIVERSITY	RIGS / PRIGS/ MIRGS / GSMRF / IAREF
PRIVATE (Local & International)	SPONSORED RESEARCH / JOINT PROJECT RESEARCH / COLLABORATION / CLINICAL RESEARCH

CHANGE OF SCOPE / OBJECTIVE

1

Application for change of scope has to be made within the **first 6 months from the project start date** for MOHE's consideration

2

Change of scope is only allowed **once** within the project duration

3

Application is made through RMC and must include:
- Justification
- Relevant Supporting Documents

CHANGE OF PI

PI unable to perform his role for more than 3 months due to:

- Study / Unpaid leave
- Retirement / End of service
- Secondment / Relocation to other organizations
- Health issues
- Sabbatical leave (more than 6 months)
- Other reasons (approved by RMC)

If there is no capable co-researcher to replace the PI, a candidate from outside of the research group can be nominated.

PI to suggest a capable co-researcher to replace him within the project team.

Completed application along with justification must be submitted at least 1 month before the change of PI for MOHE's consideration

CO-RESEARCHER

1

PI must ensure all co-researchers perform their roles and responsibilities as agreed.

2

Application and valid justification need to be sent at least **1 month** earlier before the addition of co-researcher for the consideration and approval of RMC or MOHE.

3

MOHE does not recommend additional/removal of co-researchers unless there is a necessity and valid justification.

CO-RESEARCHER

4

PI to send an application for additional/removal of a co-researcher with justification and the roles of the new team member (for additional).

5

If approval (for additional/removal) is at the RMC level, MOHE shall be informed of such changes during the monitoring session.

*Please refer to the respective guidelines of the different types of grants.
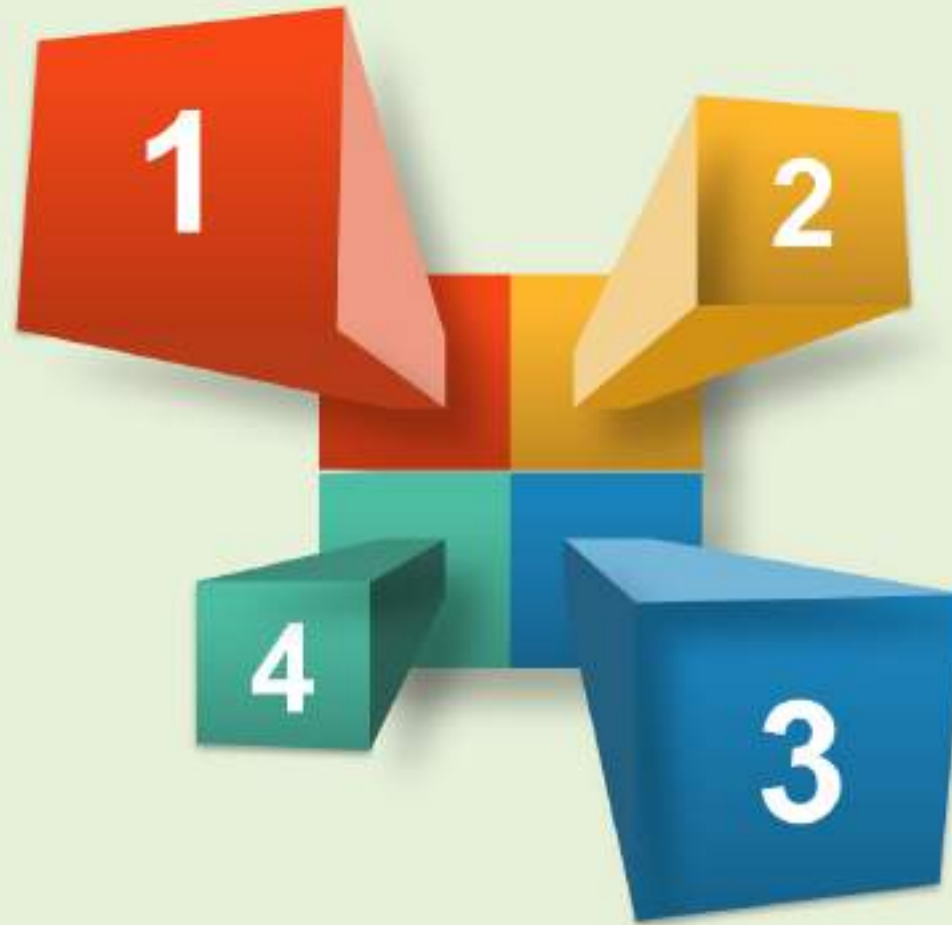
EXTENSION OF RESEARCH PROJECT

APPLICABLE FOR

Delay in completion of research milestones due to the:
- Ethical approval
- Technical issues on research verification
- Procurement issues
- Error in data analysing
- Difficulties is getting the right sample
- Additional no. of database / sample
- Research still on-going

1

2

4

3

APPLICATION & APPROVAL

- Online via RMSV2 and funder's system
- Approval by RMC and funder
- Application must be submitted **at least 2 months** before the end date

DURATION

3 – 6 months depend on the justification given

HOW MANY TIMES?

ONCE ONLY

PROJECT DURATION

Application needs to be acknowledged and supported by the Program Leader before it is sent to MOHE (depends on the type of grant).

Justifications that ARE NOT considered for extension:

◦ Attending conference

◦ GRA payment

◦ Procurement of new asset near the end of the project

◦ Spending the remaining balance

◦ Other reasons without strong justifications

PI to ensure that the project is executed according to plan and achieve the targeted output as agreed in the proposal.

*Urus Tadbir 2020 – An extension of 3 months is given for publication

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PROJECT DURATION

Duration of extension:

6 months max. (1st ext.)

6 months max. (2nd ext.)

PI to send an application for extension of duration of the project with justification and supporting documents for the consideration and approval of RMC or MOHE.

Late extension application will not be approved by the MOHE.

6. ATTENDING CONFERENCE OVERSEAS

1 Only allowed for oral paper presentation. Poster presentation is NOT ALLOWED.

2 Qualification criteria:
(Refer to next slide)

3 General terms to attend overseas conference:
(Refer to next slide)

4 For virtual presentation, researchers need to get the validation from conference organizer and RMC.

6. ATTENDING CONFERENCE OVERSEAS

Qualification criteria for attending overseas conference:

Criteria	Science & Engineering	Social Science
Qualification	Only PI and project members are allowed (Students are not allowed)	
Publication	**For staff under 5 years of service:** • 2 articles in SCOPUS indexed journal; or • 2 chapters in research book(s); or • 1 research book	**For staff under 5 years of service:** • 2 refereed journal; or • 2 chapters in research book(s); or • 1 research book
	For staff over 5 years of service: • 5 SCOPUS indexed publication within the last 3 years; or • 5 chapters in research book(s); or • 2 research books	**For staff over 5 years of service:** • 5 indexed publication within the last 3 years; or • 5 chapters in research book(s); or • 2 research books

So, please constantly update your publication data on the MyGrants system.

RESEARCH MANAGEMENT CENTRE

6. ATTENDING CONFERENCE OVERSEAS

General terms to attend overseas conference:

- Conferences are directly related to the research
- Allowed in year 2 or above of the project duration
- Trip using the cheapest means.
- Only ONE TRIP is allowed within the project duration
- Maximum of 2 researchers from within the same project are allowed

- Potential to build good networking to obtain international grants
- Potential to be invited to publish books by renowned international publishers
- Attending an overseas conference organized by a local organizer is PROHIBITED
- Subject to overseas conference which is approved in the project proposal by MOHE
- Subject to sufficient amount in the grant

2 **MANAGEMEMENT OF FINANCE AND PROCUREMENT**

KNOWLEDGE OF FINANCIAL GUIDELINES

➢ Utilization of grants

- Researchers are required to spend the grant prudently and according to projected amount as **approved** in the proposal.

PROCUREMENT FOR ASSETS, SUPPLIES AND SERVICES

1

Only allowed if the assets, supplies and services had been stated and **approved** in the proposal paper.

2

For purchasing of assets not mentioned in the proposal, the application needs to be sent to MOHE through RMC for consideration and approval.

3

PI to ensure the complete application is sent to RMC together with justification and relevant documents

* Purchase of assets in the last 6 months of the grant period is not allowed for MOHE grants.

PROCUREMENT

WHAT CAN BE PROCURED?

Research Materials i.e. chemicals etc. (V27000)
Research Equipment (V35000)
Service (V29000)

ASSET TAGGING

RMC will issue QR Code tag for Research Equipment bought

HOW TO PROCURE?

- Below RM20K - PROCUREMENT APPROVAL FORM
- Above RM20K, a proposal need to be prepared.

PAYMENT

Required documents:
- Delivery Order (DO)
- Invoice
- Procurement Order (PO)

WHAT DOCUMENT NEEDED?

Quotation from vendor
- Below RM20K : 1 quotation
- Above RM20K – 50K : 3 quotations
- Above RM50K – RM200K : 5 quotations

PROCUREMENT ORDER (PO)

PO will be issued by Finance Division to successful vendor

APPROVAL

- Below RM20K – Deputy Director of RMC / Kulliyyah
- Above RM20K – RM50K : Director of RMC
- Above RM50K – RM200K : Finance Director & Rector

USING BUDGET AFTER END OF PROJECT

1

Researchers are not allowed to make new purchases after the end of the project duration.

2

RMC will only process financial claims or commitments that had been made before the end of the project duration

3

All claims must be made within **3 months** after the end of the project date. (Not applicable for MOHE grants).

RESEARCH ADVANCEMENT

1

Two types:
- Travelling advancement
- Miscellaneous advancement

* Forms from RMC website

2

Maximum amount:
- Travelling (RM10K) V21000
- Miscellaneous (RM100K)
  * Not allowed for V11000 &
    V35000

3

Advancement report must be submitted:
- 1 month (for Travelling)
- 6 months (for Miscellaneous)

RESEARCH ADVANCEMENT

Cash advances to cover reasonable expenses for research purposes

Reconciliation & Penalty

- Must be reconciled with original receipts of expenses for research purposes.

- Failure may result in deduction of salary.

Amount & Duration

- Amount: up to **RM 100K or 30%** (whichever is lower)

- Cash advances are to be **reconciled within 6 months after disbursed**.
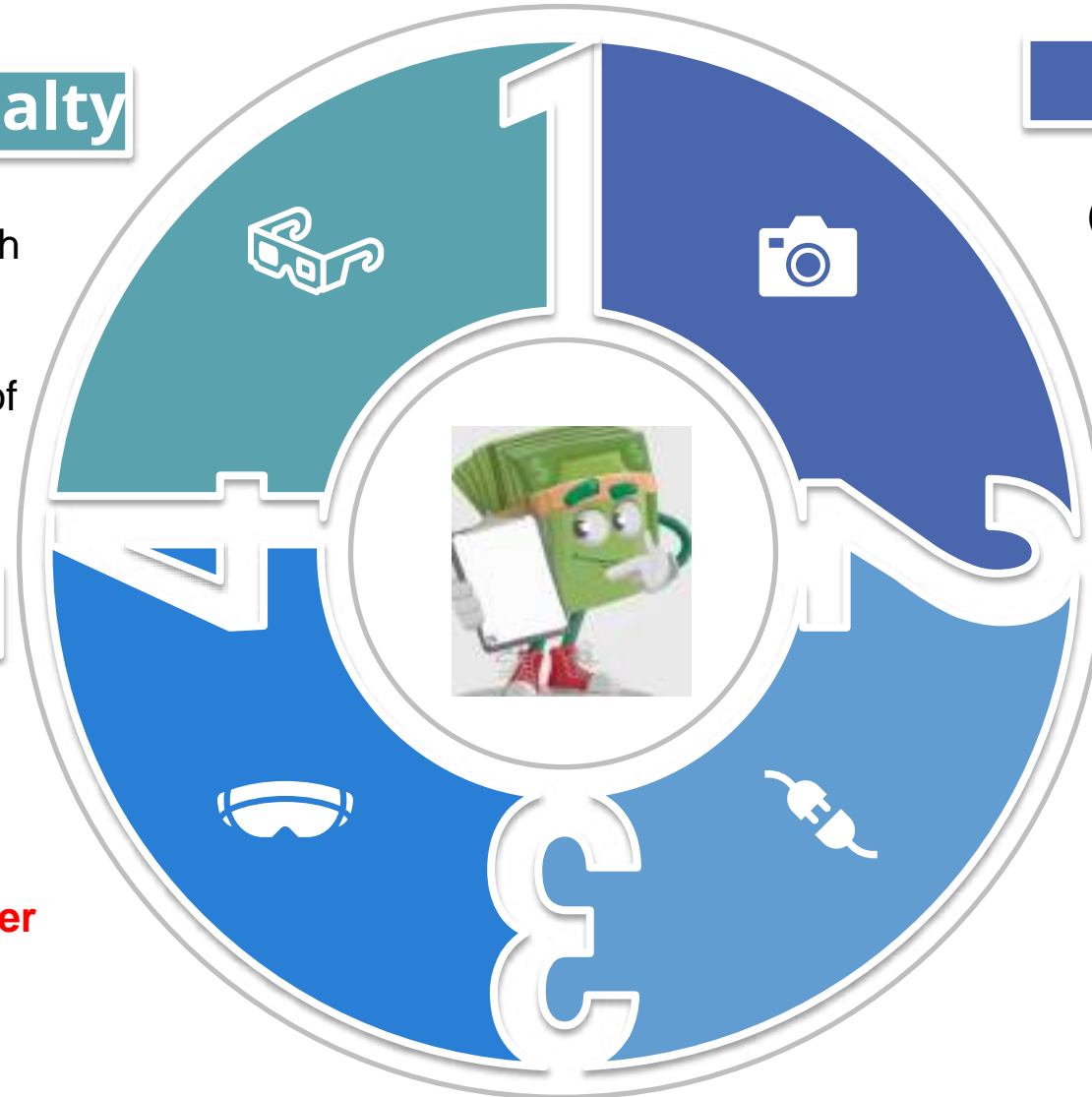
Which Vote?

Vote27000
(Research Materials & supplies)

Vote29000
(Professional Services)

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How to Apply?

Submitted via RMSV2

Approval
Dep Director RMC or Kuliyyah

RESEARCH CLAIM

1

All receipts must be verified by:
Dean
Dep Dean PG & Research
HOR
HOD

* Forms from RMC website

2

- Validation of receipts is **6 months** (pending for changes)
- Purchasing of equipment (Vote 35K) is not included.
- Refreshments for meetings are unclaimable unless approved in the budget.

3

For FGD as data collection as approved in the proposal:
- Prepare proposal + budget
- Claim for refreshment is allowed

Professional service MUST submit appointment letter

RESEARCH CLAIM

PROCESSING TIME FRAME

Complete and approve RESEARCH CLAIM FORM shall be processed by Finance Zone 2 within **14 working days**

WHAT CAN BE CLAIMED?

All expenses related to research & approved in the budget only

HOW TO CLAIM

Submitted via RMSV2

Attachment
Approved claim form & Verified original receipts

Approval
Dep Director RMC or Kuliyyah

VALIDITY OF RECEIPTS

All claims for reimbursement must be submitted within **6 months from the date of the receipts**

BUDGET REALLOCATION

1 Virement aims to reallocate budget to a vote which is not sufficient to carry out the research activity.

2 Virement is only allowed once a year for a project approved by the MOHE.

3 Virement is allowed from any vote as long as it is within the percentage limit set by MOHE.

4 Virement cannot accede 50% of the initial amount of vote approved.

ISSUES ON CLAIMS

- Membership fees
- Claim for conference fee without approval for attending the conference
- Top up for TNG cards
- Mobile pre-paid claims
- Stationeries
- Procurement using V35000
- Data collection activities i.e.FGD without proposal/approval from RMC

3 **MONITORING OF RESEARCH GRANTS**

INFORMATION ON RESEARCH PROJECT

RESEARCH END REPORT

Research Profile (5 pages)
Infographic on research findings
Research Impact (Government /
Academia / Industry / Civil Society)

RESEARCH EXTENSION

Extension of project duration is allowed
only **ONCE** i.e. maximum of 6 months.

RESEARCH PROGRESS

Progress Report
2 / year i.e *February & July*
online system RMSV2 and funder's system

Panelty (non-submission)
Grant suspended
Blacklisted for application of new grant

RESEARCH ACTIVATION

Research project and allocation
registered in RMSV2 and IFIS

Revision in funder systems has been
approved

RESEARCH DURATION

The grant is active from the start
date up to end date only.

RESEARCH KPIs *(output)*

Publication
2 articles published in indexed journal

Talent
1 Master student (2 years project)
1 Ph.D student (3 years project)

FINAL PROGRESS/COMPLETION AND FINANCIAL REPORT

PI is responsible to prepare the final progress and financial report based on the agreed duration.

The submission must include:
1. Final progress report and milestones.
2. Financial reports
3. Talent
4. Output
5. Retrain/ suggestion

PIs for TRGS & LRGS are required to submit all progress and financial reports to the Program Leaders prior to sending to the MOHE.

PI **MUST** submit the final progress report and financial report to MOHE.

FINAL PROGRESS/COMPLETION AND FINANCIAL REPORT

- The progress of all projects shall be evaluated by the RMC according to the status below:

Project Status	Progress Level
Satisfactory	• Progressing well
Unsatisfactory	• Behind schedule • Need closer monitoring
Problematic	• Does not achieve target or deviated from initial planning *(project progress and financial)* • Project recommended for termination *(if received warning 2 times)*

FINAL PROGRESS/COMPLETION AND FINANCIAL REPORT

- Criteria for evaluation are as follows:

a. Progress of project must follow according to the proposed milestones.

b. Progress of financial expenditure (for projects with 2 years duration) are as follows:

First Year		Second Year	
1st Cycle	2nd Cycle	3rd Cycle	4th Cycle
25%	50%	75%	100%

At the RMC:

- For the purposes of performance monitoring, **appointment of GRA must be made in the first year of research**. No backdated appointment of GRA.
- Appointment letter verified by RMC must be attached.
- Financial report must be verified by the Finance.
- Internal assessment within institution must be made by panel in the related cluster. For a problematic project, PI must give justification and plan of ratification for the project

RESEARCH MANAGEMENT CENTRE

FINAL PROGRESS/COMPLETION AND FINANCIAL REPORT

At the MOHE:

- Monitoring of research will be done at random within 6 months after previous progress and financial report submission.
- Presentation of progress and financial report will be done by the Evaluation Committee appointed by the MOHE

END OF PROJECT REPORT

1
PI to send the end of project report within 3 months after project completion.

2
End of project report must be assessed by an internal panel in the related field before being forwarded to the MOHE.

3
Financial report must be verified by Finance

END OF PROJECT REPORT

4

Documents that need to be sent are as follows:

1. End of Project Report
2. Research Profile (5 page)
3. Report in hardcopy format must include background, methodology and other relevant information
4. Infographics of research
5. Video

5

End of project report must indicate the overall achievement (output) as agreed in the proposal.

PROJECT STATUS DEFINITION

Withdraw
- PI leaves the University and no takers for the project.
- Grant utilized must be reimbursed

Terminated
- Research Not Active
- No progress report
- Does not response to any reminders
- Grant utilized must be reimbursed

Incomplete
- Research not progressing as planned.
- Grant utilized more than 50%
- Grant utilized must be reimbursed

Completed KPI achieved
- Research Progress 100%
- Meet all KPIs as promised *(Talent / Publication / IP)*

Completed KPI not achieved
- Research Progress 100%
- Does not meet either one or all KPIs as promised *(Talent / Publication / IP)*

ACHIEVEMENT OF OUTPUT

PUBLICATION

- Only publications indexed in Scopus, WoS and ERA are accepted as output
- FRGS 2021 - indexed in MyCite
- Status must be PUBLISHED (active grants on 24 January 2020)
- Published date must not be prior to the project commencement date
- Acknowledgement statement to the funder (Name of funder and Project Code)

ACKNOWLEDGEMENT
This research was supported by Ministry of Education (MOE) through Fundamental Research Grant Scheme (FRGS/1/2019/UIAM/02/5/2)

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PUBLICATION

- If acknowledgement is given to more than one (1) grant from the same funder, the publication will be considered as the KPI to the first mentioned grant.

- If there is more than one (1) funder, first acknowledgement must be given to the highest contributor, followed by the others.

ACKNOWLEDGEMENT

This research has been carried out under Transdisciplinary Research Grant Scheme project (TRGS/1/2019/UIAM/02/5/2) and Fundamental Research Grant Scheme (FRGS/1/2019/UIAM/02/5/2) provided by Ministry of Education of Malaysia (MOE)

ACKNOWLEDGEMENT

This research was supported by Ministry of Education (MOE) through Fundamental Research Grant Scheme (FRGS/1/2019/UIAM/02/5/2). We also want to thank the Government of Malaysia which provide MyBrain 15 program for sponsoring this work under the self-fund research grant and L00022 from Ministry of Science, Technology and Innovation (MESTECC)

ACHIEVEMENT OF OUTPUT (TALENT)

- Criteria set by MOHE for production of talent:

	Criteria
a.	**1. Graduate Research Assistant (GRA)** - GRA appointed and paid with the fund from research grant by MOHE. - Duration of appointment must be within the active period of the research (min. 12 months) and must graduate (even after end of project).
	2. Student paid using other sources - Sponsored students or students who are paid using other financial sources rather than research grant by MOHE - RMC must verify the status of the student and the research done. Info must be sent to MOHE. - Duration of appointment must be within the active period of the research (min. 12 months) and must graduate (even after end of project).
b.	GRA must be supervised by PI or co-researchers in the same project.
c.	GRA must carry out studies that are directly related to the research project. Contents of related research needs to be confirmed by RMC.
d.	The status of the GRA whether in progress or graduated need to be updated through the MyGrants system **even when the period of the research had ended**. (You may UPDATE the info)

ACHIEVEMENT OF OUTPUT (TALENT)

- The criteria set by MOHE for production of talent:

Criteria	
e.	GRA appointed must not be PI or co-researcher who is on study leave.
f.	• **Nationality status for GRA that need to be taken for consideration:** - Malaysian and non-Malaysian (for appointment before 28 February 2014) - Malaysian only (for appointment within 28 February 2014 until 15 October 2017) - Malaysian and non-Malaysian (for appointment starting from 16 October 2017) However, appointment of non-Malaysian must not exceed 50% of the appointment of Malaysian GRA.
g.	GRA on Full Time study mode will be counted as KPI for Talent. The GRA must be directly involved in the research conducted. RMC needs to verify and send the information to MOHE.
h.	All GRA appointments must be proven by submitting the evidences to MOHE such as the appointment letter, letter of further study and any related documents

ACHIEVEMENT OF OUTPUT

INTELLECTUAL PROPERTY

The criteria are as follows:

1. IP must be related to the current research
2. Filed IP must be proven

Any latest output achievement related to talent, publication and IP must be reported by the PI from time to time even after the end of project.

PENALTY

- **PI can be given a penalty for failure to comply to the activities below:**

	Activities that result in penalty	Penalty Given
4.6.1 (a)	• Does not submit progress report and financial report *(on the date determined by the Ministry)*	• Restriction on budget expenditure
4.6.2 (b)	• Does not submit the end of project report (on the date determined by Ministry)	• PI is not allowed to apply for a new MOHE grant for 2 years and co-researcher for 1 year.
4.6.2 (c)	• Project does not achieve the promised KPI/deliverables	• PI is not allowed to apply for a new MOHE grant for 2 years and co-researcher for 1 year.
4.6.2 (d)	• Does not complete the research without providing strong justifications nor notification to the Ministry through the RMC	• PI is not allowed to apply for a new MOHE grant for 2 years and co-researcher for 1 year.

- Researcher who had spent beyond the total amount approved after the end of the research duration due to recklessness need to pay back all the money spent unless there is a strong justification acknowledged by RMC.

4 **ROLES, RESPONSIBILITY, INTEGRITY AND ETIQUETTE**

INTEGRITY AND ETHICS

- PI to comply with the good research culture such as:

GOOD RESEARCH CULTURE
a) Conduct research with honesty and integrity (including avoid conflict of interest). b) Respect research subjects (i.e human, animal, environment). c) Utilize budget prudently. d) Acknowledge the role and contribution of every party involved in the research.

INTEGRITY AND ETHICS

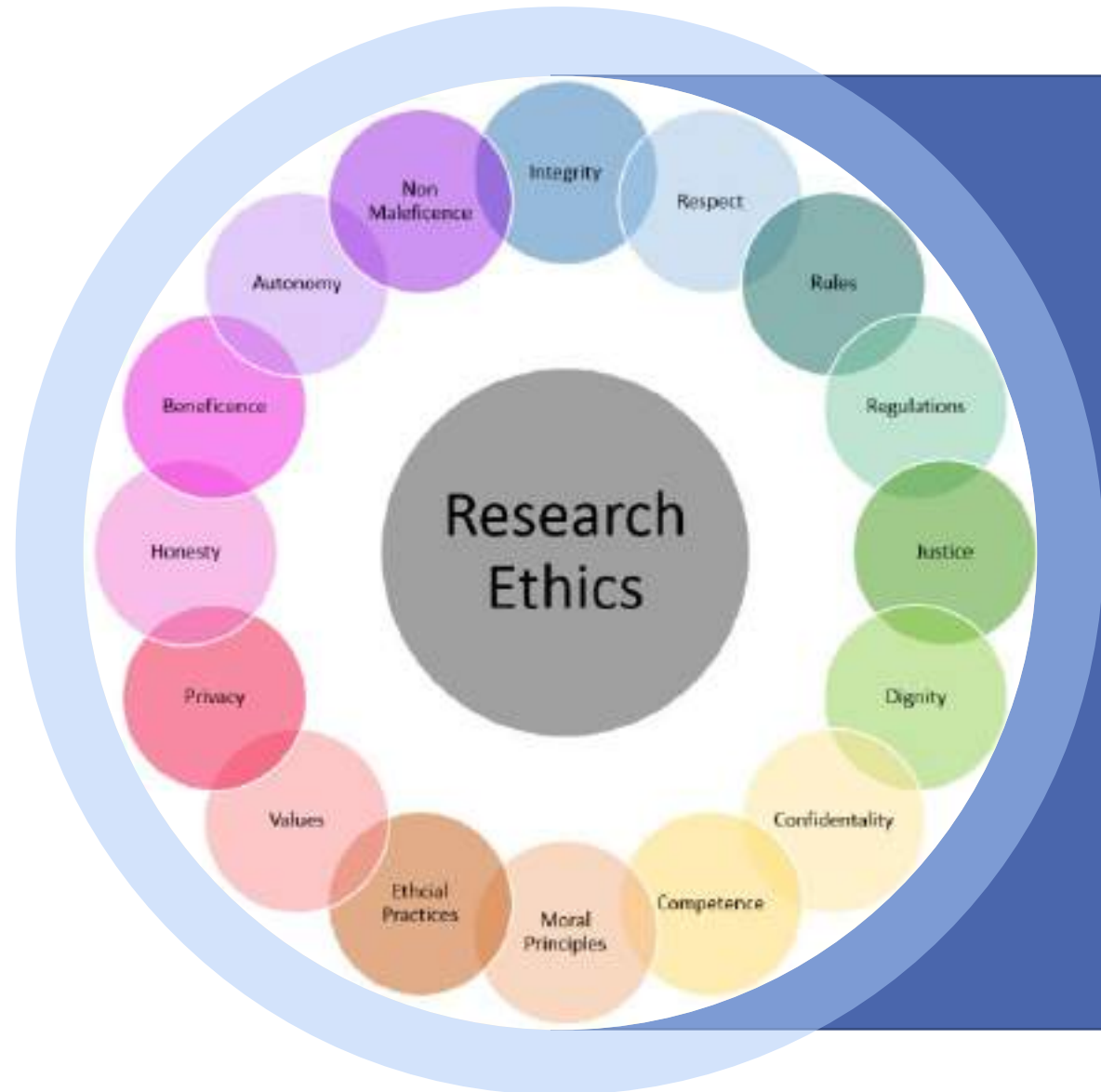- Misconduct in research must be avoided including:

GOOD RESEARCH CULTURE
a) **Dishonest report** of the findings i.e. fabricate data, manipulate data, negligence in the collection and analysis of data for the purpose of fraud.
b) **Fabricate and distort the research progress**, make outrageous statements and set aside the previous study finding.
c) **Misuse of research funds** or does not comply with the procurement and financial procedures that have been established.
d) **Misuse of data** and research finding for a negative purposes
e) **Plagiarize** the work of others, take without permission of the results and other research methods, ignoring the significant contribution of other researchers and copying other researchers' writing without giving acknowledgement.

- Institution and researchers need to obey the rules stated in the "Malaysia Code of Responsibility in Research (MCRCR)". http://www.might.org.my/download/the-Malaysian-code-of -responsible-conduct-in-research/ .

DO THE RIGHT THINGS
&
DO THINGS RIGHT

THANK YOU!