



**RESEARCH MANAGEMENT CENTRE
INTERNATIONAL ISLAMIC UNIVERSITY MALAYSIA**

**SPONSORED RESEARCH
GUIDELINES AND PROCEDURES 2019**

1. OBJECTIVE

The objective of the Sponsored Research (SP) Guidelines and Procedures 2019 is to provide information with regards to the management of this research and other matters related to the research. It is intended as a source of reference for academic staff, research coordinators, and research committees at the Kulliyah / Centre / Division / Institute (K/C/D/I) and Research Management Centre.

Sponsored Research in the context of IIUM means research conducted by IIUM researchers at the IIUM with the funding sponsored by entities such as companies, institutions, universities, individuals etc.

2. RESEARCH CLUSTER

Clusters of research may include the following :

- 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

The research area may include the following :

- 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

Research projects shall be completed within the duration as agreed upon between the researcher and the funder.

5. ELIGIBILITY

The criteria are as specified or agreed upon by the funder.

7. BUDGET

The budget is as specified or agreed upon by the funder.

8. APPROVING AUTHORITY

The approval of the grant is as specified or agreed upon by the funder.

9. REQUIRED OUTPUT OF RESEARCH

9.1 The research output is as specified or agreed upon by the funder.

9.2 The ownership of Intellectual Property Rights, if any, shall be determined and managed in accordance with the IIUM policies and procedures.

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

10. FUNDING SCOPE

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

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

10.1.2 Claims shall be made using the current Travelling Claim Form of IIUM.

10.1.3 **Lodging, hotel and food allowance**

Allowances are provided as specified or agreed upon by the funder. In the case where the allowances are not specified, the following guidelines shall be adopted :

10.1.3.1 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.

10.1.3.2 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

10.1.4 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” form. The form is available at the Research Management Centre’s website.

10.2 **Vote 27000 (Research Materials and Supplies)**

10.2.1 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.

10.2.2 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**.

10.3 **Vote 28000 (Maintenance and Minor Repair Services)**

The expenses include minor modifications and repairs of a building, laboratory, equipment or any other item directly related to the project. The maintenance costs of existing equipment used during the duration of project period may also be included.

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

10.4.1 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.

10.4.2 Publication fee is also included under these services.

10.5 **Vote 35000 (Research Equipment)**

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

10.5.2 The approval to purchase equipment is at the discretion of the appropriate approving authority and is made on a case-by-case basis.

10.5.3 The purchase of equipment shall be made through the Research Management Centre and shall comply with the IIUM Financial Policies and Procedures.

10.5.4 Expenses advanced by the researcher may 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.

10.5.5 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:

10.5.5.1 Purchase of RM20,000.00 and below

- 1 original quotation
- Complete Procurement Approval Form that has been vetted by the Kulliyah

10.5.5.2 Purchase of above RM20,000.00 - RM50,000.00

- To call for at least three (3) original quotations
- The purchase proposal shall include an explanation of the need for the purchase
- Recommendation from RMC Evaluation Committee appointed by the Director of Research Management Centre
- Approval from the Director of Research Management Centre



10.5.5.3 Purchase of above RM50,000.00 and below RM200,000.00

- 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

10.5.6 All vendors shall register with the Finance Division, IIUM. Failure to do so will delay the payment process.

10.5.7 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.

10.6 Notwithstanding of the above financial votes, the researcher may request to allocate the fund to other votes provided that the allocation is in line with the IIUM Financial Policies and Procedures. The request shall be made to the Research Management Centre for approval.

11. CASH DISBURSEMENT

11.1 Disbursement of fund may be made in stages throughout the duration of conducting the research. For lump sum payment received from the funder, disbursement may be made through the following minimum of two (2) withdrawals interval for the total duration of research project :

Withdrawal Request	Amount of withdrawal request	Project Duration Indication
1st Phase	Maximum of 70% withdrawal of the lump sum payment received	Upon starting of the project
2nd Phase	Final balance withdrawal of the lump sum payment received	50% from the total project duration

2% will be kept as management fee to the University for the lump sum payment received.

11.2 For staggered payment received from the funder, the following staggered payment schedule received from the funder where 100% withdrawal will be disbursed. 2% will be kept as management fee to the University for each staggered payment received.

11.3 The cash disbursement is capped at RM100,000 per transaction where the approving authorities are the Deputy Rector (Responsible Research and Innovation) and the Director of the Research Management Centre.

11.4 The official receipts shall be submitted to the Research Management Centre for claims and reconciliation purposes.

12. RESEARCH PROGRESS REPORT

Researchers are responsible to submit timely progress reports to the funder and Research Management Centre as specified by the funder.

13. RESEARCH PROJECT EXTENSION

Requests for research project extensions shall be made to the funder for approval.

14. END OF PROJECT REPORT

14.1 The researchers are responsible to submit the end of project report and / or the project output as specified by the funder upon completion of the projects.

14.2 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 properly stored at the respective K/C/D/Is upon completion of the research project and registered under the inventory policy.

15. 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.

16. RESEARCH AND RESEARCHERS

16.1 Roles and Responsibilities of Principal Investigators and Co-researchers

16.1.1 Principal Investigators (PI) and co-researchers shall at all times conduct their research 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 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.

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

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

16.2 Research Integrity

- 16.2.1 Researchers 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.
- 16.2.2 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.
- 16.2.3 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.
- 16.2.4 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.

16.3 Research Misconduct

Research 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 **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 deliberately ignoring prior relevant reports in research literature.
- 16.3.3 **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.
- 16.3.4 **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.

- 16.3.5 **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.
- 16.3.6 **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).
- 16.3.7 **Property violation** is defined as stealing or destroying property of others, such as research papers, supplies, equipment or product of research.
- 16.3.8 **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.
- 16.3.9 **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.
- 16.3.10 **Mistreatment of animals** is defined as failure to treat animals with care, and humaneness.
- 16.3.11 **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
- 16.3.12 **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 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 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 research 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 Responsible Research and Innovation is satisfied that any researcher has committed a breach of any provision of these Guidelines and Procedures, the researcher 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 researcher 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 Principal Investigator, 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.

17.3 Upon termination of the agreement,

The principal investigator shall:

17.3.1 Forthwith cease the project; and

17.3.2 Stop utilizing balance of the grant; and

17.3.3 Prepare a statement of expenditure incurred and a report in a form satisfactory to the University in connection of to the project including the present state of its progress; and

17.3.4 Pay back the money that has been paid to the researcher for the purpose of the project.

17.4 In the event of demise of the Principal Investigator, the Research Management Centre, upon consultation with the research team members, shall decide whether to terminate the project or appoint a new Principal Investigator.

17.5 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, 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 research is the Director of Research Management Centre.

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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