	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	Halaman: 1/18
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1.0 SKOP


Prosedur ini merangkumi aktiviti permohonan geran, penilaian kertas cadangan, kelulusan permohonan, pelaksanaan penyelidikan, pemantauan, perlindungan hasil penyelidikan, dan penyebaran hasil penyelidikan di peringkat Pusat Tanggungjawab dan Pejabat TNCPI.

2.0 TANGGUNGJAWAB


TNCPI, PRMC, PPSP dan Ketua PTJ adalah bertanggungjawab menentukan prosedur ini dipatuhi. Penyelidik dan sesiapa yang terlibat dalam aktiviti penyelidikan perlu mematuhi prosedur ini.

3.0 DOKUMEN RUJUKAN

Kod Dokumen	Tajuk Dokumen
PU/PY/GP15/PENYELIDIK	Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Penyelidik
PU/PY/GP16/PTJ	Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Pusat Tanggungjawab (PTJ)
PU/PY/GP17/PTNCPI	Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Pejabat TNCPI
UPM/SOK/CAL/P001	Prosedur Penentuan/ <u>Verifikasi</u> Peralatan/ Verifikasi
-	Pelan Strategik UPM
-	Buku Panduan Perkhidmatan UPM
-	Polisi Penyelidikan UPM
-	Statut Universiti Putra Malaysia (Harta Intelek) 2003
-	Polisi Media Universiti Putra Malaysia
-	<i>Guidelines For E-ScienceFund</i>
-	Garis Panduan e-Dana
-	Garis Panduan Permohonan <i>Fundamental Research Grant Scheme</i> (FRGS)
-	Garis Panduan Permohonan <i>Exploratory Research Grant Scheme</i> (ERGS)


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Kod Dokumen	Tajuk Dokumen
-	Garis Panduan Permohonan <i>Long-term Research Grant Scheme</i> (LRGS)
-	Garis Panduan Permohonan <i>Prototype Research Grant Scheme</i> (PRGS)
-	Garis Panduan Permohonan <i>Transdisciplinary Research Grant Scheme</i> (TRGS)
-	Garis Panduan Permohonan Geran Universiti Putra Malaysia
-	Garis Panduan Permohonan NKEA <i>Herbs Research Grant Scheme</i> (NRGS)
-	Garis Panduan Skim Pasca Doktorat Universiti Putra Malaysia
-	Garis Panduan Pelantikan Penolong Penyelidik, Pembantu Penyelidik (Pentadbiran Penyelidikan) dan Siswazah Penyelidik Universiti Putra Malaysia
-	Garis Panduan Malaysia bagi Amalan Klinikal Baik (Edisi ke-empat)
-	Akta Kualiti Alam Sekeliling 1974
-	Akta Rahsia Rasmi 1972
-	Akta Paten 1983
-	Dasar Harta Intelek Negara 2007
-	Akta Arkib Negara 2003
-	Akta Hakcipta 1987
-	Akta Cap Dagangan 1976
-	Akta Rekabentuk Perindustrian 1996
-	Akta Varieti Tumbuhan Baru 2004
-	Akta Rekabentuk Susun Atur Litar Bersepadu 2000 (Akta 601)
-	Akta Biokeselamatan 2007
-	Akta Kebajikan Haiwan 2015
-	Akta Peranti Perubatan 2012
-	Akta Air 1920 [akta 418]

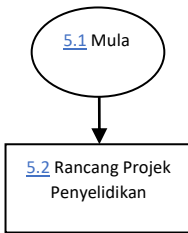
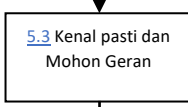
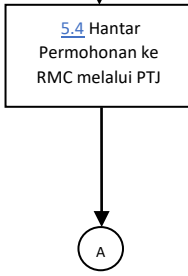
	<p style="text-align: center;">PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI</p> <p style="text-align: center;">PEJABAT TIMBALAN NAIB CANCELOR (PENYELIDIKAN DAN INOVASI)</p> <p style="text-align: center;">Kod Dokumen: UPM/PU/PY/P001</p>	Halaman: 3/18
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4.0 TERMINOLOGI DAN SINGKATAN

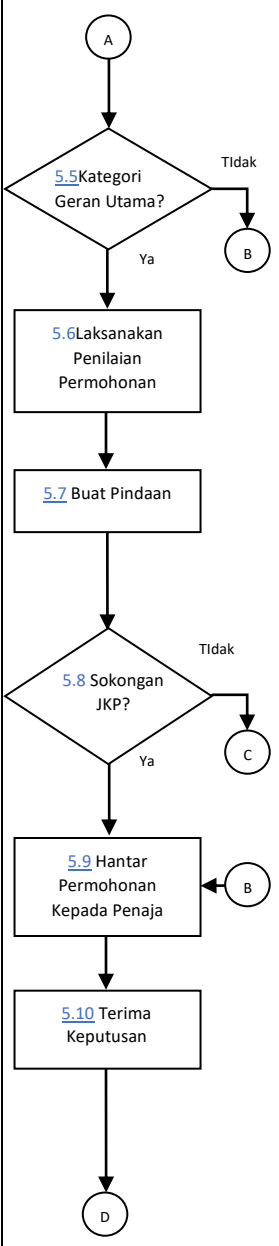
Geran UPM	: Geran Universiti Putra Malaysia (kecuali Geran GIPP dan KTGS)
Geran Luar	: Geran penyelidikan daripada agensi kerajaan, swasta dan antarabangsa selain Geran UPM
Geran GIPP	: Geran Insentif Penyelidikan dalam Pengajaran dan Pembelajaran
KTGS	: <i>Knowledge Transfer Grant Scheme</i>
JKE	: Jawatankuasa Etika berkaitan penyelidikan
JKP	: Jawatankuasa Penilai
JPHI	: Jawatankuasa Penilaian Harta Intelek
KM Portal	: <i>Knowledge Management Portal</i>
KP	: Ketua Projek
Penaja Geran	: Terdiri daripada pihak awam dan swasta
Pengkomersilan	: Pelesenan dan Jualan terus
PIA	: Pengarah Institut/ Akademi
PPSP	: Pengarah PSP
PSP	: <i>Putra Science Park</i>
PT	: Pegawai Tadbir
PTJ	: Pusat Tanggungjawab yang terlibat dalam aktiviti penyelidikan
PT RMC	: Pegawai Tadbir RMC
PYB	: Pegawai Yang Bertanggungjawab
PRMC	: Pengarah RMC
RMC	: <i>Research Management Centre</i> (Pusat Pengurusan Penyelidikan)
TDP	: Timbalan Dekan yang bertanggungjawab di dalam portfolio penyelidikan dan inovasi di PTJ
TNCPI	: Timbalan Naib Canselor (Penyelidikan dan Inovasi)


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5.0 PROSES TERPERINCI


Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
TNCPI/ PRMC/PPSP/ KP		5.2 (a) Rancang projek penyelidikan merujuk kepada dokumen berkaitan antaranya; (i) pelan strategi UPM; (ii) polisi penyelidikan universiti; (iii) program penyelidikan universiti / bidang tujahan universiti; (iv) Rancangan Malaysia (RMK), <i>Economic Transformation Programme (ETP)</i> , <i>National Key Result Areas (NKRA)</i> , <i>National Key Economic Areas (NKEA)</i> , Pelan Pembangunan Pendidikan Malaysia 2015-2025 (Pendidikan Tinggi); dan (v) garis panduan dan keperluan penaja geran.	
KP		(b) Sedia kertas cadangan penyelidikan berdasarkan keperluan penaja.	
KP		5.3 Kenal pasti kategori geran yang ingin dipohon seperti berikut: (a) Bagi kategori Geran Utama, isi borang permohonan mengikut format penaja. (b) Bagi kategori Geran Luar, isi borang permohonan mengikut format penaja geran atau isi Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR) bagi geran yang tiada format penaja geran.	Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK) Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR)
KP		5.4 (a) Hantar permohonan ke RMC melalui Pejabat TDP/ PIA PTJ.	
PTJ		(b) Terima dan semak kertas cadangan permohonan geran penyelidikan berdasarkan keperluan penaja geran.	Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Pusat Tanggung jawab (PTJ) (PU/PY/GP16/PTJ)

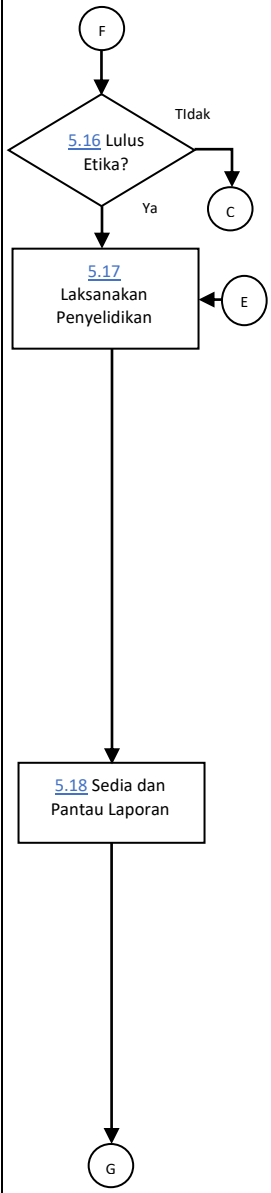
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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
PYB RMC		5.5 Kategori geran utama (a) Jika Ya, ikut langkah 5.6. (b) Jika Tidak, ikut langkah 5.9.	Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCPi (PU/PY/GP17/PTNCPi)
PRMC/ PYB RMC/JKP		5.6 Laksana penilaian permohonan geran penyelidikan utama mengikut keperluan penaja geran.	
PT RMC/ KP		5.7 RMC akan maklumkan kepada penyelidik jika memerlukan pindaan. Penyelidik membuat pindaan/ ubahsuaian mengikut cadangan JKP dalam jangka masa yang dipersetujui dan hantar ke Pejabat PRMC. Bagi pindaan yang perlu disemak semula oleh JKP, ulang langkah 5.6.	
PRMC/ PYB RMC		5.8 Sokongan JKP (a) Jika ya, ikut langkah 5.9 bagi permohonan geran penyelidikan dari penaja luar universiti. Bagi permohonan Geran Universiti Putra Malaysia, terus ke langkah 5.10(b). (b) Jika tidak, proses tamat.	
PRMC/ PYB RMC		5.9 Sedia dokumen dan rumusan permohonan (jika berkaitan) mengikut keperluan penaja dan hantar permohonan kepada penaja berkenaan untuk kelulusan.	
PRMC		5.10 (a) Terima keputusan permohonan dari penaja luar. (b) Buat keputusan permohonan bagi Geran Universiti Putra Malaysia. (c) Maklum keputusan penaja geran kepada Ketua PTJ dan Ketua Penyelidik.	
PRMC			
PRMC/ PT RMC			

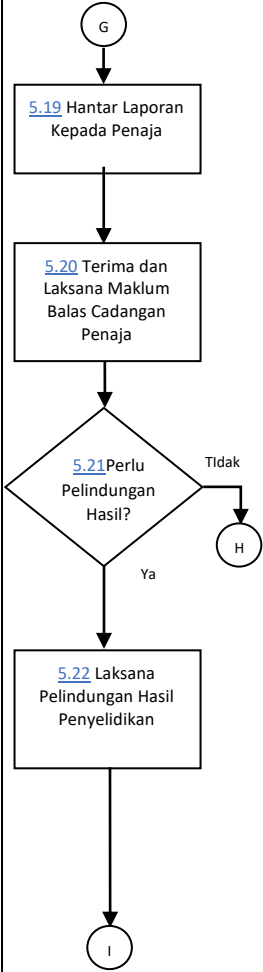
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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
PRMC / PYB RMC / KP		<p>5.11 Berjaya</p> <p>(a) Jika Ya, ikut langkah 5.12.</p> <p>(b) Jika Tidak, proses tamat.</p>	
KP		<p>5.12 Penyelidik bersetuju</p> <p>(a) Jika Ya, ikut langkah 5.13 sekiranya keputusan diperolehi daripada PRMC. Sekiranya keputusan diperolehi terus daripada penaja luar, maklum keputusan kepada PRMC dan TDP/PIA.</p> <p>(b) Jika Tidak, proses tamat.</p>	
PRMC/TNCPI/KP		<p>5.13 (a) Sediakan dokumen dan dapatkan persetujuan dokumen perjanjian bagi geran penyelidikan utama (jika berkaitan) dan geran luar.</p> <p>(b) Simpan salinan perjanjian/ surat tawaran berkaitan penerimaan/ penolakan tawaran geran penyelidikan.</p>	Salinan perjanjian/ Surat tawaran berkaitan penerimaan/ penolakan tawaran geran penyelidikan
PYB RMC		<p>5.14 Perlu pelepasan etika</p> <p>(a) Jika ya, ikut langkah 5.15.</p> <p>(b) Jika tidak, ikut langkah 5.17.</p>	
KP		<p>5.15 (a) Bagi projek berkaitan penggunaan haiwan, manusia, tumbuhan dan organisma terubahsuai yang memerlukan kelulusan khusus daripada Jawatankuasa Etika di peringkat Universiti atau pihak berkuasa berkaitan, penyelidik perlu mengisi borang-borang yang berkaitan.</p> <p>(b) Hantar borang permohonan tersebut kepada RMC.</p>	Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/ PENYELIDIK)

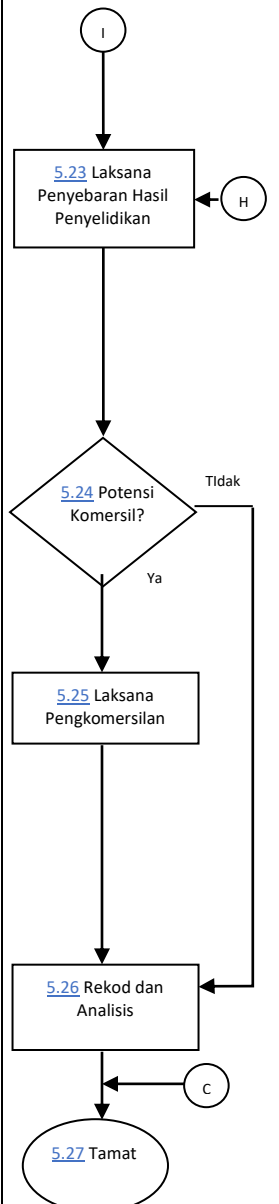
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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
KP/PTJ JKE	 <pre> graph TD F((F)) --> D{5.16 Lulus Etika?} D -- Ya --> C((C)) D -- Tidak --> E((E)) E --> B[5.17 Laksanakan Penyelidikan] B --> A[5.18 Sedia dan Pantau Laporan] A --> G((G)) </pre>	5.16 (a) Jika Ya, ikut langkah 5.17. (b) Jika Tidak, proses tamat.	
KP KP		5.17 (a) Laksana penyelidikan mengikut permohonan yang diluluskan / perjanjian yang telah ditandatangani. (b) Sekiranya projek yang sedang dilaksanakan didapati memerlukan kelulusan etika, sila ikut langkah 5.15.	Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)
KP		(c) Dapatkan keperluan sumber penyelidikan seperti sumber manusia, bekalan perkhidmatan dan peralatan.	Prosedur Penentuan Peralatan/Verifikasi (UPM/SOK/CAL/P001)
KP		(d) Pastikan peralatan penyelidikan dikalibrasi/diverifikasi sebelum menjalankan penyelidikan.	
KP		(e) Rekod kerja penyelidikan dalam buku rekod aktiviti penyelidikan.	Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)
KP		(f) Laksana penilaian prestasi Pembantu Penyelidikan.	
KP		5.18 (a) Sedia laporan kemajuan berkala dan laporan akhir mengikut keperluan penaja.	Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)
TDP/PIA/PRMC		(b) Pantau laporan kemajuan berkala dan laporan akhir mengikut keperluan penaja.	Garis Panduan Penyelidikan dan Inovasi Untuk Pusat Tanggung jawab (PTJ) (PU/PY/GP16/PTJ)
TDP/PIA		(c) Laksana penilaian laporan prestasi penyelidikan.	Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCPi (PU/PY/GP17/PTNCPI)

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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
TDP/PIA PRMC KP KP KP/PSP PPSP	 <pre> graph TD G((G)) --> B1[5.19 Hantar Laporan Kepada Penaja] B1 --> B2[5.20 Terima dan Laksana Maklum Balas Cadangan Penaja] B2 --> D1{5.21 Perlu Pelindungan Hasil?} D1 -- Ya --> B3[5.22 Laksana Pelindungan Hasil Penyelidikan] D1 -- Tidak --> H((H)) B3 --> I((I)) </pre>	5.19 (a) Hantar laporan yang telah disemak oleh TDP/PIA ke Pejabat PRMC. (b) Buat perakuan laporan berkenaan dan dihantar ke penaja geran 5.20 (a) Terima maklum balas daripada penaja geran melalui PRMC atau daripada pihak penaja. (b) Laksana maklum balas daripada penaja geran bagi laporan kemajuan tersebut (jika ada). 5.21 Perlu perlindungan hasil (a) Jika Ya, ikut langkah 5.22. (b) Jika Tidak, ikut langkah 5.23. 5.22 (a) Laksana perlindungan yang bersesuaian dengan hasil penyelidikan. (b) Maklum keputusan kepada Ketua PTJ.	Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK) Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCP (PU/PY/GP17/PTNCP)


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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
KP/PPSP/PRMC	 <pre> graph TD I((I)) --> B[5.23 Laksana Penyebaran Hasil Penyelidikan] H((H)) --> B B --> D{5.24 Potensi Komersil?} D -- Ya --> E[5.25 Laksana Pengkomersilan] D -- Tidak --> F[5.26 Rekod dan Analisis] E --> F C((C)) --> F F --> G((5.27 Tamat)) </pre>	5.23 Laksana penyebaran hasil penyelidikan yang bersesuaian berdasarkan keperluan.	<p>Garis Panduan Penyelidikan dan Inovasi Untuk Pusat Tanggung jawab (PTJ) (PU/PY/GP16/PTJ)</p> <p>Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCPi (PU/PY/GP17/PTNCPi)</p>
KP/PPSP		5.24 Potensi komersil (a) Jika Ya, ikut langkah 5.25. (b) Jika Tidak, ikut langkah 5.26.	
		5.25 Laksana pengkomersilan terhadap hasil penyelidikan.	<p>Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p> <p>Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCPi (PU/PY/GP17/PTNCPi)</p>
KP PRMC/PPSP/TDP/PIA		5.26 (a) Rekod data hasil penyelidikan ke dalam sistem aplikasi KM Portal sedia ada . (b) Jalankan analisis impak mengikut keperluan.	


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6.0 REKOD


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
1.	<p>UPM/RMC/700-2/1/(NAMA GERAN)/(KOD PROJEK) UPM.RMC.800-2/2 Geran Penyelidikan</p> <p>Fail Projek (Nama Geran/ Kod Projek / Nama Penyelidik)</p> <ul style="list-style-type: none"> • Surat makluman kelulusan / tawaran geran • Kelulusan etika penyelidikan - jika berkaitan • Kertas cadangan penyelidikan muktamad • Borang Penilaian Permohonan Geran Penyelidikan (PU/PY/BR04/NILAIGERAN) (tidak berkaitan jika penilaian menggunakan sistem penaja) • Dokumen perjanjian - jika ada • Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN) - jika ada • Borang Laporan Akhir Penyelidikan (PU/PY/BR010/LAP) / format penaja (tidak berkaitan jika laporan menggunakan sistem penaja) • Borang Laporan Output Penyelidikan (PU/PY/BR15/ OUTPUT) • Salinan surat lantikan Pembantu Penyelidikan Siswazah dan surat pengesahan bergraduasi oleh senat (jika berkaitan) • Dokumen yang berkaitan 	Penolong Pegawai Tadbir	PT	RMC 7 tahun setelah tamat penyelidikan	Ketua Pengarah Arkib Negara Malaysia

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Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
2.	<p>UPM/(KOD PTJ)/700-1/1/(KOD GERAN) Fail Pengurusan Geran/ (Nama Geran) UPM.RMC.800-3 Geran Kerajaan Utama</p> <ul style="list-style-type: none"> • Surat makluman /pelawaan penajaan kepada PTJ • Ringkasan senarai permohonan yang dihantar ke RMC /penaja • Surat makluman keputusan permohonan kepada PTJ • Laporan Perbelanjaan Kewangan setiap setengah tahun dari Bendahari • Dokumen yang berkaitan 	Penolong Pegawai Tadbir	TDP/PIA/ PT	Pejabat TDP /PIA 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia

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Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
3.	<p>UPM/(KOD PT)/700-2/1/(NAMA GERAN)/(KOD PROJEK) UPM.RMC.800-2/1 Pemantauan Penyelidikan</p> <p>Fail Projek (Nama Geran/ Kod Projek / Nama Penyelidik)</p> <ul style="list-style-type: none"> • Surat makluman kelulusan / tawaran geran • Kertas cadangan penyelidikan muktamad • Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)- jika ada • Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT) • Borang Laporan Kemajuan Penyelidikan (PU/PY/BR09/LKP) / format penaja • Borang Laporan Akhir Penyelidikan (PU/PY/BR010/LAP) / format penaja • Laporan Penilaian Prestasi Projek (PU/PY/ BR40/PRESTASI) • Borang menghadiri Seminar/Konferen/Bengkel/Lawatan ke Luar Negara (PU/PY/BR30/SKBL)- jika ada • Borang Laporan Perjalanan ke Luar Negara (PU/PY/BR31/LAPORANSKBL) - jika ada • Salinan surat lantikan Pembantu Penyelidikan Siswazah dan surat pengesahan bergraduasi oleh Senat (jika berkaitan) • Dokumen yang berkaitan 	Penolong Pegawai Tadbir	TDP / PIA / PT	Pejabat TDP / PIA 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	Halaman: 13/18
		No. Semakan: 03 04
		No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
4.	<p>UPM/RMC/700-3/1(KOD GERAN)/(KOD PROJEK) UPM.RMC.800-1/1 Kerjasama Penyelidikan Dalam Negara</p> <p>Fail Projek (Nama Geran/ Kod Projek / Nama Penyelidik)</p> <ul style="list-style-type: none"> • Surat kelulusan dari penaja / Dokumen perjanjian • Surat ikatan amanah • Sesalanan kertas cadangan projek atau Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR) • Surat Kelulusan etika penyelidikan - jika berkaitan • Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN) - jika berkaitan • Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT) • Salinan laporan projek • Sesalanan <i>Non-Disclosure Agreement</i> – jika berkaitan • Salinan surat lantikan Pembantu Penyelidikan Siswazah dan surat pengesahan bergraduasi oleh senat (jika berkaitan) • Surat-menyurat dan dokumen berkaitan 	Penolong Pegawai Tadbir	PT	RMC 5 tahun setelah tamat penyelidikan	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 14/18
	PEJABAT TIMBALAN NAIB CANCELOR (PENYELIDIKAN DAN INOVASI)	No. Semakan: 03 04
	Kod Dokumen: UPM/PU/PY/P001	No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
5.	<p>UPM/(KOD PTJ)/700-3/1/(KOD GERAN)/(KOD PROJEK) UPM.RMC.800-1/2 Kerjasama Penyelidikan Luar Negara</p> <p>Fail Projek (Nama Geran/ Kod Projek / Nama Penyelidik)</p> <ul style="list-style-type: none"> • Surat kelulusan dari penaja / Dokumen perjanjian • Surat ikatan amanah • Sesalanan kertas cadangan projek atau Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR) • Surat Kelulusan etika penyelidikan - jika berkaitan • Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN) - jika berkaitan • Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT) • Salinan laporan projek • Sesalanan <i>Non-Disclosure Agreement</i> – jika berkaitan Surat-menyerat dan dokumen berkaitan • Salinan surat lantikan Pembantu Penyelidikan Siswazah dan surat pengesahan bergraduasi oleh senat (jika berkaitan) 	Penolong Pegawai Tadbir	PT	PTJ 5 tahun setelah tamat penyelidikan	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 15/18
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI)	No. Semakan: 03 04
	Kod Dokumen: UPM/PU/PY/P001	No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
6.	<p>UPM/100-45/2 UPM.PSP.300-6/2/1</p> <p>JAWATANKUASA PENILAIAN HARTA INTELEK</p> <ul style="list-style-type: none"> • Borang permohonan • Surat Lantikan Ejen Harta Intelek (jika berkaitan); • Spesifikasi Harta Intelek (jika berkaitan); • Salinan Sijil Pemfailan/akuan berkanun Harta Intelek (jika berkaitan); • Borang pelantikan ejen harta intelek (jika berkaitan) • Notis pemfailan PCT/Luar negara (jika berkaitan); • Dokumen berkaitan PCT/Luar negara (jika berkaitan); • Borang pemeriksaan harta intelek (jika berkaitan); • Laporan pemeriksaan Harta intelek (Malaysia) (jika berkaitan); • Laporan pemeriksaan harta intelek (Luar Negara) (jika berkaitan); • Salinan Sijil harta intelek & Sijil Pembaharuan harta intelek (jika berkaitan); • Lain-lain yang berkaitan 	Penolong Pegawai Sains	PPS/PS/ PPT/PT	PSP Kekal	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 16/18
	PEJABAT TIMBALAN NAIB CANCELOR (PENYELIDIKAN DAN INOVASI)	No. Semakan: 03 04
	Kod Dokumen: UPM/PU/PY/P001	No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
7.	<p>UPM/PTNCPI/100-8/3/1/(KOD PAMERAN) (Nama Pameran) UPM.PSP.800-6/4/2 Promosi dan Pemasaran Inovasi</p> <ul style="list-style-type: none"> • Surat berkaitan • Maklumat pameran • Senarai dan maklumat penyelidik • Senarai semak pameran 	PTPO	PT	PSP 3 tahun	Ketua Pengarah Arkib Negara Malaysia
8.	<p>UPM/PTNCPI/100-14/1/1 UPM.PSP.800-6/1/1 Teknologi</p> <ul style="list-style-type: none"> • Dokumen dan surat berkaitan • Borang Suai Padanan Teknologi (PU/PY/BR23/SPT) • Senarai syarikat-usahawan 	Penolong Pegawai Penerbitan	PT	PSP 5 tahun	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI PEJABAT TIMBALAN NAIB CANCELOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	Halaman: 17/18
		No. Semakan: 03 04
		No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021

Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
9.	<p>UPM.PSP.300-6/2 Harta Intelek</p> <ul style="list-style-type: none"> Catatan Perundingan Perniagaan (samada minit mesyuarat/catatan mesyuarat/ surat menyurat / memo/ emel berkaitan) Semakan Dokumen Perjanjian (samada minit mesyuarat/catatan mesyuarat/ surat menyurat / memo/ emel berkaitan) Dokumen kelulusan Jawatankuasa-jawatankuasa berkenaan di peringkat UPM (kertas kerja/ surat menyurat / memo/ emel berkaitan/minit mesyuarat kelulusan) Dokumen Perjanjian UPM dengan syarikat yang telah ditandatangani Dokumen berkaitan pemantauan pendapatan (samada minit mesyuarat/catatan mesyuarat/ surat menyurat / memo/ emel berkaitan/ inbois/resit) 	Penolong Pegawai Tadbir	PT	PSP 5 tahun	Ketua Pengarah Arkib Negara Malaysia
10.	<p>UPM.RMC.800-2/1/4 Jawatankuasa Pemilih Menghadiri Seminar/Konferensi/ Simposium dan Sangkutan Penyelidikan Luar Negara</p> <ul style="list-style-type: none"> Minit Mesyuarat Agenda Mesyuarat Borang Seminar/Konferen/Bengkel/Lawatan ke Luar Negara (PU/PY/BR30/SKBL) Borang Laporan Perjalanan ke Luar Negara (PU/PY/BR31/LAPORANSKBL) 	Urusetia SKBL	PT	RMC 7 tahun	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI PEJABAT TIMBALAN NAIB CANCELOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	Halaman: 18/18
		No. Semakan: 03 04
		No. Isu: 03
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI	Tarikh: 19/06/2020 13/8/2021

Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
11.	<p>UPM. TNCPI.100-6/1/102 Mesyuarat Jawatankuasa Pemilih (Kumpulan Pengurusan dan Profesional)</p> <ul style="list-style-type: none"> • Agenda Mesyuarat • Minit Mesyuarat • Surat Kelulusan • Surat-surat berkaitan 	PTPO	PT	TNCPI 5 tahun	Ketua Pengarah Arkib Negara Malaysia
12.	<p>UPM. TNCPI.500-8/4/1 NAMA/NOM.STAF</p> <ul style="list-style-type: none"> • Borang Permohonan Felo Pasca Doktorat (PU/PY/BR41/PERSONELR&D); atau • Borang Permohonan Felo Penyelidik (PU/PY/BR43/PERSONELR&D); atau • Borang Permohonan Pembantu Penyelidik (PU/PY/BR44/PERSONELR&D) • Borang Penilaian Prestasi Penyelidik (PU/PY/BR06/NILAIPRESTASI) • Surat tawaran • Surat-surat berkaitan 	PTPO	PT	TNCPI 5 tahun	Ketua Pengarah Arkib Negara Malaysia

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1.0 SCOPE


The procedure encompasses grant application, proposal evaluation, application approval, research outcome protection, and dissemination of research results activities at the Centre of Responsibility and DVCRI office levels.

2.0 RESPONSIBILITY

TNCPI, PRMC, PPSP and Head of PTJ are responsible for the implementation of this procedure. All parties involved must adhere to this procedure.

3.0 REFERENCE DOCUMENT


Document Code	Title of Document
PU/PY/GP15/ PENYELIDIK	Research and Innovation Management Guidelines for Researchers
PU/PY/GP16/PTJ	Research and Innovation Management Guidelines for Centre of Responsibility
PU/PY/GP17/PTNCPI	Research and Innovation Management Guidelines for Office of DVCRI
UPM/SOK/CAL/P001	Equipment Calibration/Verification Procedure
-	UPM Strategic Plan
-	UPM Services Guidebook
-	UPM Research Policy
-	Universiti Putra Malaysia Statute (Intellectual Property) 2003
-	UPM Media Policy
-	Guidelines For E-Science Fund
-	Guidelines For e-Fund
-	Fundamental Research Grant Scheme (FRGS) Application Guidelines
-	Exploratory Research Grant Scheme (ERGS) Application Guidelines

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Document Code	Title of Document
-	Long-term Research Grant Scheme (LRGS) Application Guidelines
-	Prototype Research Grant Scheme (PRGS) Application Guidelines
-	Trans disciplinary Research Grant Scheme (TRGS) Application Guideline
-	Universiti Putra Malaysia Grant Application Guideline
-	NKEA Herbs Research Grant Scheme (NRGS) Application Guidelines
-	Universiti Putra Malaysia Post-Doctoral Scheme Guidelines
-	Universiti Putra Malaysia Guidelines For Appointment of Assistant Researcher, Assistant Researcher (Research Administration) and Research Graduate
-	Malaysian Good Clinical Practices Guideline (4th Edition)
-	Environmental Quality Act 1974
-	Official Secret Act 1972
-	Patent Act 1983
-	National Intellectual Property Policy 2007
-	National Archive Act 2003
-	Copyright Act 1987
-	Trademark Act 1976
-	1996 Industrial Design Act
-	New Plant Variety Act 2004
-	Integrated Circuit Layout Design Act 2000 (Act 601)
-	Biosafety (Act 2007)

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Document Code	Title of Document
-	Animal Welfare (Act 2015)
-	Medical Devices (Act 2012)
-	Water Act 1920 (Act 418)


4.0 TERMINOLOGY AND ACRONYM

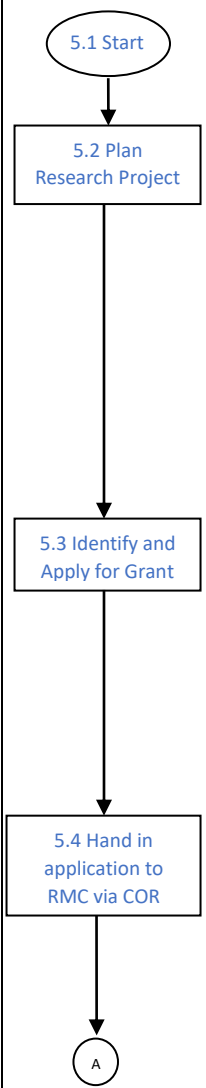
UPM Grant	: Universiti Putra Malaysia Grant (except GIPP and KTGS Grants)
External Grant	: Research Grant from government, private and international agencies except UPM Grant
GIPP Grant	: Research Incentive Grant in Teaching and Learning
KTGS	: Knowledge Transfer Grant Scheme
JKE	: Ethics Committee related to research
JKP	: Evaluation Committee
JPHI	: Evaluation Committee for Intellectual Property
KM Portal	: Knowledge Management Portal
KP	: Project Leader
Grant Sponsor	: Consisting of the public and private sectors
Commercialisation	: Licensing and Direct Sale
PIA	: Director of Institute/ Academy
PPSP	: Director of PSP
PSP	: Putra Science Park
PT	: Administrative Officer
PTJ	: Centre of Responsibility involved in research activity
PT RMC	: RMC Administrative Officer
PYB	: Officer In Charge
PRMC	: RMC Director
RMC	: Research Management Centre
TDP	: Deputy Dean responsible for research and innovation portfolio at PTJ
TNCPI	: Deputy Vice Chancellor (Research and Innovation)

5.0 PROCESS IN DETAIL

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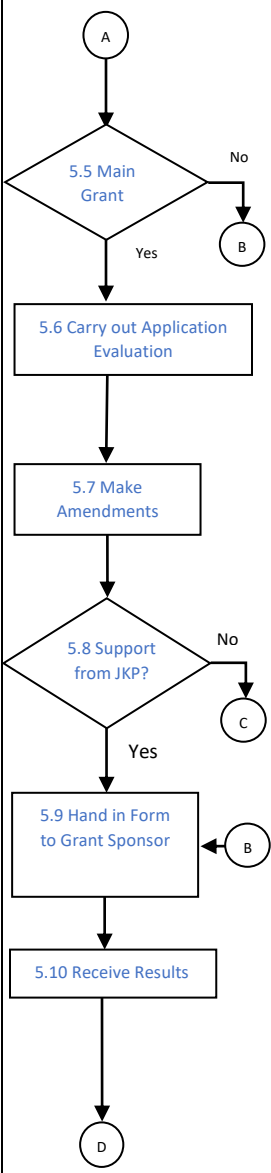
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Responsibility	Flowchart	Details	Record/ Reference Document
TNCPI/ PRMC/PPSP/ KP	 <pre> graph TD Start([5.1 Start]) --> Plan[5.2 Plan Research Project] Plan --> Identify[5.3 Identify and Apply for Grant] Identify --> HandIn[5.4 Hand in application to RMC via COR] HandIn --> A((A)) </pre>	<p>6.2 (c) Plan research project by referring to related documents such as;</p> <ul style="list-style-type: none"> (vi) UPM Strategic Plan (vii) university research policy (viii) university research program/university thrust field (ix) Malaysia Plan (RMK), Economic Transformation Programme (ETP), National Key Result Areas (NKRA), National Key Economic Areas (NKEA), Malaysia Education Development Plan 2015-2025 (Higher Education); and (x) Guidelines and needs of grant sponsor <p>(d) Prepare research proposal based on the requirement of sponsor.</p>	<p>Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)</p> <p>External Grant Application Form (PU/PY/BRO2/GERANLUAR)</p>
KP		<p>5.3 Identify grant category to apply for</p> <ul style="list-style-type: none"> (c) For the Main Sponsor category, fill in the application form according to sponsor's format (d) For the External Grant category, fill in the application form according to sponsor format or fill in the External Grant Application Form (PU/PY/BRO2/GERANLUAR) for grants without sponsor format. 	
KP		<p>5.4 (a) Submit application to RMC via the TDP/PIA PTJ Office</p>	<p>Research and Innovation Management Guidelines for Centre of Responsibility (PTJ) (PU/PY/GP16/PTJ)</p>
PTJ		<p>(b) Receive and review research grant application proposal based on the requirements of the grant sponsor.</p>	

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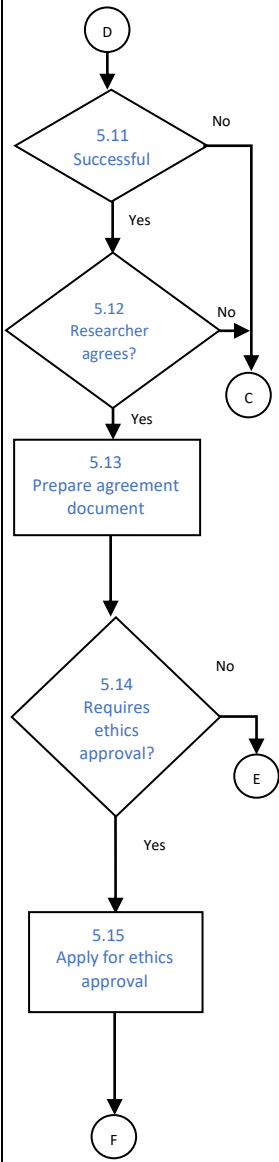
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Responsibility	Flowchart	Details	Record/ Reference Document
PYB RMC	 <pre> graph TD A((A)) --> D1{5.5 Main Grant} D1 -- No --> B((B)) D1 -- Yes --> E1[5.6 Carry out Application Evaluation] E1 --> E2[5.7 Make Amendments] E2 --> D2{5.8 Support from JKP?} D2 -- No --> C((C)) D2 -- Yes --> E3[5.9 Hand in Form to Grant Sponsor] B --> E3 E3 --> E4[5.10 Receive Results] E4 --> D((D)) </pre>	5.5 Main Grant Category (c) If yes, follow step 5.6 (d) If no, follow step 5.9	Guidelines For Research and Innovation Management for Office of TNCPi (PU/PY/GP17/PTNCPi)
PRMC/ PYB RMC/JKP		5.6 Evaluate main research grant application based on grant sponsor requirement.	
PT RMC / KP		5.7 RMC will inform researcher if there are any amendments based on suggestion by JKP within an agreed period and submit to PRMC Office. For amendments which need to be reviewed by JKP, repeat step 5.6	
PRMC / PYB RMC		5.8 Support from JKP (c) If Yes, follow step 5.9 for external research grant application. If it is UPM Grant application, go straight to step 5.10(b) (d) If No, the process ends.	
PRMC / PYB RMC		5.9 Prepare documents and summary of application (if applicable) according to sponsor requirement and hand in the application to relevant sponsor for approval.	
PRMC		5.10 (d) Receive result from external sponsor	
PRMC		(e) Decide result of application for UPM Grant	
PRMC / PT RMC		(f) Inform grant sponsor decision to Head of PTJ and Research Leader	

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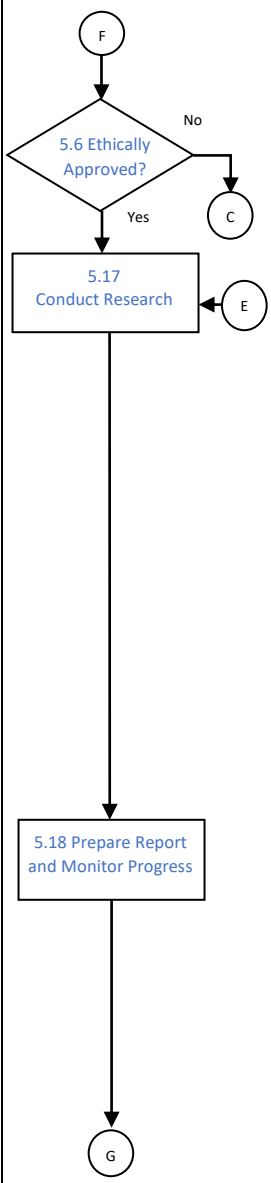
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Responsibility	Flowchart	Details	Record/ Reference Document
PRMC / PYB RMC / KP KP		5.11 Successful (c) If Yes, follow step 5.12 (d) If No, the process ends.	Copy of agreement/offer letter related to acceptance/rejection of research grant offer.
PRMC/TNCPI/KP PYB RMC		5.12 Researcher agrees (c) If Yes, follow step 5.13 if result is obtained from PRMC. If result is obtained from external sponsor, inform result to PRMC and TDP/PIA. (d) If No, the process ends.	
KP		5.13 (c) Prepare document and get approval for agreement document for main research grant (if applicable) and external grant. (d) Keep copy of agreement/offer letter related to acceptance/rejection of research grant offer.	
KP		5.14 Requires ethics approval (c) If Yes, follow step 5.15 (d) If No, follow step 5.17	
KP		5.15 (c) For projects involving the use of animals, human beings, plants and customised organism which need special approval from University Ethics Committee or relevant authority, the researcher needs to fill in relevant forms. (d) Send application form to RMC	
			Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)

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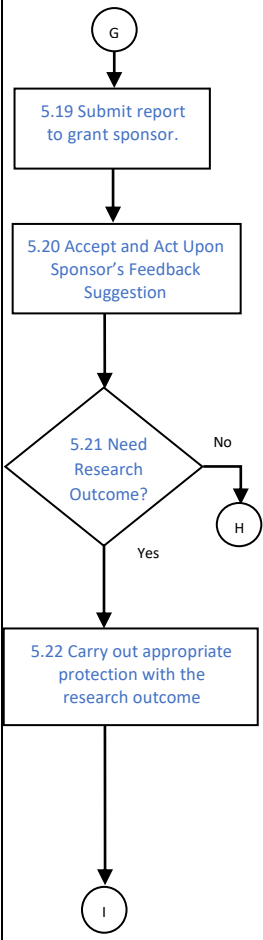
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Responsibility	Flowchart	Details	Record/ Reference Document
KP/PTJ JKE	 <pre> graph TD F((F)) --> D{5.6 Ethically Approved?} D -- No --> C((C)) D -- Yes --> P1[5.17 Conduct Research] E((E)) --> P1 P1 --> P2[5.18 Prepare Report and Monitor Progress] P2 --> G((G)) </pre>	5.16 (c) If Yes, follow step 5.17 (d) If No, the process ends.	
KP		5.17 (g) Conduct research according to approved application/signed agreement	Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)
KP		(h) If the project requires ethics approval, follow step 5.15 (i) Obtain research resources such as human resource, service and equipment supplies.	
KP		(j) Ensure Research tools are calibrated / verified before conducting research.	Tools Calibration / Verification Procedure (UPM/SOK/CAL/P001)
KP		(k) Record research work in the research activity record book.	
KP		(l) Carry out Research Assistants' performance appraisal	Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)
KP			
KP		5.18 (d) Prepare periodic progress and final reports as required by sponsor.	Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)
TDP/PIA/PRMC		(e) Monitor periodic progress and final reports as required by sponsor	Guidelines For Research and Innovation Management for Centre of Responsibility (PTJ) (PU/PY/GP16/PTJ)
TDP/PIA		(f) Write research achievement report	Guidelines For Research and Innovation Management for Office of TNCPI (PU/PY/GP17/PTNCPI)

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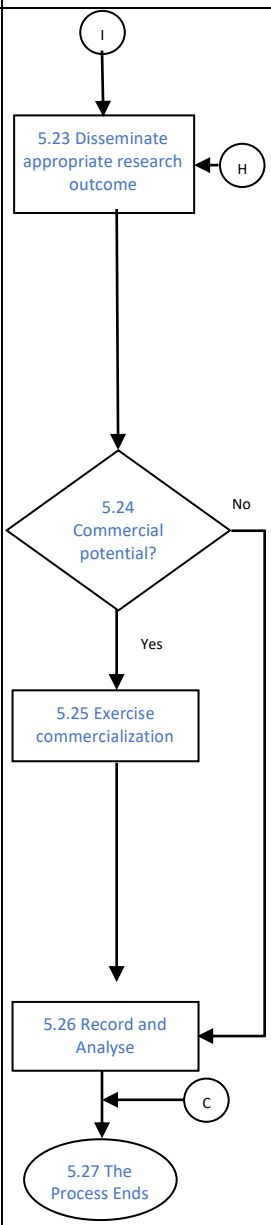
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Responsibility	Flowchart	Details	Record/ Reference Document
TDP/PIA PRMC KP KP	 <pre> graph TD G((G)) --> S19[5.19 Submit report to grant sponsor.] S19 --> S20[5.20 Accept and Act Upon Sponsor's Feedback Suggestion] S20 --> D21{5.21 Need Research Outcome?} D21 -- No --> H((H)) D21 -- Yes --> S22[5.22 Carry out appropriate protection with the research outcome] S22 --> I((I)) </pre>	5.19 (c) Submit the revised report by TDP/PIA to PRMC Office. (d) Verify the report and submit to grant sponsor. 5.20 (c) Receive feedback from grant sponsor via PRMC or sponsor. (d) Act upon the feedback from grant sponsor for the progress report (if any). 5.21 Revenue protection required (c) If Yes, follow step 5.22 (d) If No, follow step 5.23	Guidelines for research and innovation management for researchers (PU/PY/GP15/PENYELIDIK) Guidelines For Research and Innovation Management For Office Of TNCPI(PU/PY/GP17/PTN CPI)
KP/PSP PPSP		5.22 (c) Carry out appropriate protection with the research outcome (d) Inform the results to the Head of PTJ	

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Responsibility	Flowchart	Details	Record/ Reference Document
KP/PPSP/PRMC		5.23 Disseminate appropriate research outcome based on requirements.	Guidelines For Research and Innovation Management for Centre of Responsibility (PTJ) (PU/PY/GP16/PTJ) Guidelines For Research and Innovation Management for Office of TNCPI (PU/PY/GP17/PTN CPI)
KP/PPSP		5.24 Commercial potential (c) If Yes, follow step 5.25 (d) If No, follow step 5.26	
KP PRMC/PPSP/TDP/PIA		5.25 Exercise commercialisation of research output.	Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK) Guidelines For Research and Innovation Management for Office of TNCPI (PU/PY/GP17/PTN CPI)
		5.26 (c) Record research results data in the KM-Portal application system <u>existing system</u> . (d) Carry out impact analysis based on requirements.	

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6.0 RECORD

No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
1.	<p>UPM/RMC/700-2/1/Project File (Grant/Project Code/Name of Researcher)</p> <p>UPM.RMC.800-2/2 Research Grant</p> <ul style="list-style-type: none"> • Letter to inform grant approval/offer • Research ethics approval-if applicable • Final Research Proposal Paper • Research Grant Evaluation Application Form (PU/PY/BR04/NILAIGERAN) (not applicable if the evaluation uses the sponsor system) • Agreement document - if any • Grant Management Form (PU/PY/BR39/URUSGERAN) if any • Final Research Report Form (PU/PY/BR010/LAP)/ sponsor's format (not applicable if report is using sponsor's system). • Research Output Report Form (PU/PY/BR15/OUTPUT). • Copy of Bachelor Research Assistant appointment letter and graduate confirmation letter by senate (if applicable). • Related documents. 	Assistant Administrative Officer	PT	7 years after research is complete	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
2.	<p>UPM/(KOD PTJ)/700-1/1/(GRANT CODE)-Grant Management File/ (Name of Grant)</p> <p>UPM.RMC.800-3 Main Government Grant</p> <ul style="list-style-type: none"> • Sponsorship/Funding Notice/Invitation to PTJ • Summary of application list sent to RMC/sponsor • Letter to inform application result to PTJ • Half yearly Expenditure Report from Bursar • Related Documents 	Assistant Administrative Officer	TDP/PIA/PT	TDP / PIA office 7 years after all listed research are completed	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
3.	<p>UPM/(COR CODE)/700-2/1/(NAME OF GRANT)/(PROJECT CODE)</p> <p>Project File (Name of Grant/ Project Code/ Name of Researcher)</p> <p>UPM.RMC.800-2/1 Research Monitoring</p> <ul style="list-style-type: none"> • Letter to Inform Grant Approval/Offer • Finalised Research Proposal • Grant Management Form -if any (PU/PY/BR39/URUSGERAN) • Research Output Report Form (PU/PY/BR15/OUTPUT) • Research Progress Report Form/sponsor's format (PU/PY/BR09/LKP) • Final Research Report Form/sponsor format (PU/PY/BR010/LAP) • Research Performance Evaluation Report (PU/PY/ BR40/PRESTASI) • International Seminar/Conference/Workshop/Visit Attendance Form – if any (PU/PY/BR30/SKBL) • Overseas Travel Report Form (PU/PY/BR31/LAPORANSKBL) – if any • Copy of Bachelor Research Assistant appointment letter and graduating confirmation letter by senate (if applicable). • Related documents. 	Assistant Administrative Officer	TDP / PIA / PT	TDP / PIA office 7 years after all listed research are completed	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
4.	<p>UPM/RMC/700-3/1(GRANT CODE)/(PROJECT CODE)</p> <p>Project File (Name of Grant/ Project Code/ Name of Researcher)</p> <p>UPM.RMC.800-1/1 Domestic Research Collaboration</p> <ul style="list-style-type: none"> • Approval Letter from Sponsor/Agreement Document • Deed Trust Letter • A copy of project proposal or External Grant Application Form (PU/PY/BR02/EXTERNAL GRANT) • Research Ethics Approval Letter – if applicable • Grant Management Form (PU/PY/BR39 – if applicable) • Research Output Report Form (PU/PY/BR15/OUTPUT) • Copy of Project Report • A copy of Non-Disclosure Agreement – if applicable. Related letters and documents • Copy of Graduate Research Assistant and graduate confirmation letter from Senate (if applicable) • Related documents 	Assistant Administrative Officer	PT	RMC 5 years after all listed research are completed	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
5.	<p>(GRANT CODE)/(PROJECT CODE) Project File (Grant Name/Project Code/Researcher)</p> <p>(UPM.RMC.800-1/2 Overseas Research Collaboration</p> <ul style="list-style-type: none"> • Approval Letter from Sponsor/Agreement Document • Deed Trust Letter • A copy of project proposal or External Grant Application Form (PU/PY/BR02/EXTERNAL GRANT) • Research Ethics Approval Letter – if applicable • Grant Management Form (PU/PY/BR39 – if applicable) • Research Output Report Form (PU/PY/BR15/OUTPUT) • Copy of Project Report • A copy of Non-Disclosure Agreement – if applicable. Related letters and documents • Copy of Graduate Research Assistant and graduate confirmation letter from Senate (if applicable) 	Assistant Administrative Officer	PT	PTJ 5 years after research is completed	Director General National Archives of Malaysia


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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
6.	<p>UPM/100-45/2 Project File (Name of Design/Researcher) (CLASSIFIED)</p> <p>UPM.PSP.300-6/2/1 Intellectual Property Committee</p> <ul style="list-style-type: none"> • Application form • Intellectual Property Agent Appointment Letter (if applicable); • Intellectual Property Specification (if applicable) • Copy of Filing Certificate/intellectual property statutory declaration (if applicable); • Intellectual Property Agent Appointment Form (if applicable) • PCT Filing Notice/ Overseas (if applicable); • PCT related document (if applicable); • Intellectual Property Inspection Form (if applicable) • Intellectual Property Inspection Report (Malaysia) (if applicable); • Intellectual Property Inspection Report (Overseas) (if applicable); • Copy of Intellectual Property Certificate and Intellectual Property Renewal Certificate (if applicable); • Other related matters. 	Assistant Science Officer	PPS/PS/PPT/PT	PSP Perma nent	Director General National Archives of Malaysia


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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
7.	<p>UPM/PTNCPI/100-8/3/1/(EXHIBITION CODE) (EXHIBITION NAME)</p> <p>UPM.PSP.800-6/4/2 Innovation Promotion and Marketing</p> <ul style="list-style-type: none"> • Related letters • Exhibition information • List and Information of Researchers • Exhibition Checklist 	PTPO	PT	PSP 3 years	Director General National Archives of Malaysia
8.	<p>UPM/PTNCPI/100-14/1/1 Technology Matching</p> <p>UPM.PSP.800-6/1/ Technology</p> <ul style="list-style-type: none"> • Related documents and letters • Technology Compatibility Form (PU/PY/BR23/SPT) • List of Companies 	Assistant Publication Officer	PT	PSP 5 years	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
9.	UPM /100-45/4 Commercial <ul style="list-style-type: none"> • Business Consultation Notes (minutes of meeting/letters/memo/related emails) • Agreement Document Review (minutes of meeting/letters/memo/related e mails) • Approval Document of Related Committees at UPM stage (paperwork/ correspondence/ memo/ related emails/ approval minutes of meeting) • Signed UPM Agreement Document with companies • Related documents on income monitoring (minutes of meeting/letters/memo/related emails/invoice/receipt) 	Assistant Administrative Officer	PT	PSP 5 years	Director General National Archives of Malaysia

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No.	File Code, Title of File and Record Checklist	Responsibility For Compiling and Filing	Responsibility For Maintenance	Place and Duration of Record Keeping	Authority On Disposal
10.	UPM/TNCPI/100/36/2/1(SKBL) Seminar, Conference, Workshop and Training (Overseas) <ul style="list-style-type: none"> • Minutes of Meeting • Agenda of Meeting • Seminar/Conference/Workshop/Visit Attendance Form – if any (PU/PY/BR30/SKBL) • Trip to Overseas Report Form (PU/PY/BR31/LAPORANSKBL) – if any 	SKBL Secretariat	PT	RMC 7 years	Director General National Archives of Malaysia
11.	UPM/TNCPI/500-2/5/13 Selection Committee (Research) <ul style="list-style-type: none"> • Agenda of Meeting • Minutes of Meeting • Approval Letter • Related Letters 	PTPO	PT	TNCPI 5 years	Director General National Archives of Malaysia
12.	UPM/TNCPI/500/ PERSONEL R&D (STAFF NO) (DESIGNATION)/(STAFF NO) <ul style="list-style-type: none"> • Post-Doctoral Fellow Application Form (PU/PY/BR41/PERSONELR&D); or • Research Fellow Application Form (PU/PY/BR43/PERSONELR&D); or • Assistant Researcher Application Form (PU/PY/BR44/PERSONELR&D) • Researcher Performance Evaluation Form (PU/PY/BR06/NILAI PRESTASI) • Offer letter • Related letters 	PTPO	PT	TNCPI 5 years	Director General National Archives of Malaysia

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1.0 TUJUAN

Garis Panduan ini bertujuan menerangkan kepada penyelidik tentang kaedah permohonan geran penyelidikan, pengurusan dan pelaksanaan projek penyelidikan, pemantauan, perlindungan harta intelek, penyebaran dan pengkomersilan hasil penyelidikan.

2.0 TERMINOLOGI DAN SINGKATAN

Geran UPM	:	Geran Universiti Putra Malaysia (kecuali Geran GIPP dan KTGS)
Geran Luar	:	Geran penyelidikan daripada agensi kerajaan, swasta dan antarabangsa selain Geran UPM
Geran GIPP	:	Geran Insentif Penyelidikan dalam Pengajaran dan Pembelajaran
KTGS	:	<i>Knowledge Transfer Grant Scheme</i>
Penaja Geran	:	Terdiri daripada pihak awam dan swasta
JKE	:	Jawatankuasa Etika berkaitan penyelidikan
JKP	:	Jawatankuasa Penilai
JKPU	:	Jawatankuasa Penyelidikan Universiti
JKSKBL	:	Jawatankuasa Seminar/Konferensi/Bengkel/Lawatan ke Luar Negara
JPHI	:	Jawatankuasa Penilaian Harta Intelekt
KM Portal	∴	<i>Knowledge Management Portal</i>
KP	:	Ketua Projek
PIA	:	Pengarah Institut / Akademi
PPSP	:	Pengarah PSP
PSP	:	<i>Putra Science Park</i>
PTJ	:	Pusat Tanggungjawab yang terlibat dalam aktiviti penyelidikan
PYB	:	Pegawai Yang Bertanggungjawab
PRMC	:	Pengarah RMC
R&P	:	Reka bentuk dan Pembangunan
RMC	:	<i>Research Management Centre</i> (Pusat Pengurusan Penyelidikan)
TDP	:	Timbalan Dekan yang bertanggungjawab di dalam portfolio penyelidikan dan inovasi di PTJ
TNCPI	:	Timbalan Naib Canselor (Penyelidikan dan Inovasi)
TPGP	:	Timbalan Pengarah, Bahagian Geran, RMC
PENKORMERSILAN	:	Pelesenan atau Penjualan Terus Harta Intelekt

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3.0 ~~ARAHAN~~/PANDUAN


3.1 Reka Bentuk Pembangunan dan Pelaksanaan Penyelidikan

3.1.1 Rancang R&P Penyelidikan

- (a) Pelaksanaan R&P penyelidikan di dalam kertas cadangan penyelidikan (proposal) perlu dirancang berpandukan pelan strategi, polisi penyelidikan, etika penyelidikan berkaitan, program penyelidikan universiti / bidang tujuan universiti, perancangan strategik negara (seperti Rancangan Malaysia, *National Key Result Areas (NKRA)*, *National Key Economic Area (NKEA)*, *Economics Transformation Programme (ETP)*, Pelan Pembangunan Pendidikan Malaysia 2015-2025 (Pendidikan Tinggi) serta keperluan penaja geran.
- (b) Tahap proses merekabentuk penyelidikan perlu ditentukan merangkumi proses semakan, verifikasi, validasi dan aktiviti yang bersesuaian di setiap peringkat penyelidikan seperti berdasarkan *gantt chart/milestone* penyelidikan dan perlu dikemaskini jika terdapat perubahan.
- (c) Tanggungjawab dan bidang kuasa untuk R&P perlu ditentukan meliputi;
 - (i) Pihak lain / luar yang terlibat dalam pelaksanaan penyelidikan termasuk pelajar siswazah berserta tanggungjawab yang jelas dan pastikan komunikasi efektif dengan semua pihak terlibat;
 - (ii) Kebenaran daripada pihak berkuasa yang berkaitan bagi menjalankan penyelidikan.

3.1.2 Keperluan Input R&P Penyelidikan

- (a) Pastikan input R&P penyelidikan di dalam kertas cadangan penyelidikan lengkap, jelas, mencukupi dan tidak bercanggah merangkumi objektif, kaedah kajian, kajian *literature*, kajian terdahulu, jangkaan hasil dan keperluan peraturan/akta yang berkaitan.
- (b) Input lain yang perlu dikenal pasti adalah seperti berikut:-
 - (i) Keperluan kewangan untuk menjalankan penyelidikan dengan mengambil kira kos sampingan seperti cukai GST, caj perkhidmatan institusi (contoh; caj perkhidmatan makmal PTJ), kalibrasi peralatan, penyelenggaraan peralatan

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dan sewaan fasiliti penyelidikan dalam menyediakan perancangan kewangan projek;

- (ii) Bahan mentah / material untuk kegunaan penyelidikan;
- (iii) Mesin atau alat perkakasan yang bersesuaian;
- (iv) Sumber manusia / ahli penyelidik yang kompeten;
- (v) Tempoh masa untuk menjalankan penyelidikan;
- (vi) Persekitaran kerja yang kondusif dan bersesuaian; dan
- (vii) Pengurusan sumber / informasi / data yang bersesuaian.


3.1.3 Keperluan Output R&P Penyelidikan

- (a) Output R&P disediakan dalam bentuk yang membolehkan verifikasi dilakukan terhadap input R&P dan mestilah diluluskan sebelum dikeluarkan.
- (b) JKP akan menyemak dan membuat penilaian kertas cadangan penyelidikan dari aspek kecukupan input R&P, lengkap, jelas dan tidak bercanggah antara satu sama lain.

3.2 Panduan Geran UPM

3.2.1 Permohonan Geran UPM

- (a) Penyediaan kertas cadangan penyelidikan mestilah mengikut format Borang Geran UPM yang boleh dimuat turun dilaman web <http://www.rmc.upm.edu.my/muatturun>.
- (b) Penyelidik perlu memastikan kertas cadangan adalah lengkap sebelum menghantar kertas cadangan penyelidikan ke Pejabat TDP/PIA dari segi;
 - (i) Pematuhan kepada syarat permohonan - KP memenuhi syarat-syarat permohonan (status lantikan, kewarganegaraan, projek sedang dalam pelaksanaan, permohonan peruntukan tidak melebihi siling yang ditetapkan, bilangan penerbitan, dsb);
 - (ii) Mengambil kira kos sampingan seperti cukai GST, caj perkhidmatan makmal PTJ), kalibrasi peralatan, penyelenggaraan peralatan dan sewaan fasiliti penyelidikan dalam menyediakan perancangan kewangan projek; dan
 - (iii) Kecukupan maklumat – semua ruangan borang diisi dengan lengkap oleh penyelidik, borang ditandatangani, dsb.

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3.2.2 Penilaian Geran UPM


- (a) Penyelidik perlu membuat pindaan sepertimana dicadangkan oleh JKP. Pindaan akan dinilai semula oleh JKP.
- (b) Penyelidik perlu memastikan kertas cadangan yang dipinda semula adalah lengkap sepertimana perkara 53.2.1 (b) dan dihantar kepada PRMC melalui TDP/PIA dalam tempoh masa yang ditetapkan.

3.2.3 Makluman Keputusan Permohonan Geran UPM

- (a) Keputusan permohonan akan dimaklumkan kepada penyelidik oleh pihak RMC. Salinan keputusan akan dihantar kepada TDP/PIA.
- (b) Bagi permohonan yang berjaya, penyelidik perlu melengkapkan persetujuan penerimaan geran / menandatangani perjanjian dan dikembalikan kepada PRMC.
- (c) Bagi permohonan yang melibatkan penggunaan manusia, haiwan dan organisma terubahsuai yang hidup, penyelidik perlu mendapat kelulusan daripada Jawatankuasa Etika diperingkat universiti melalui Pejabat ~~PRMC~~ TNCPI dan pihak berkuasa berkaitan. Jawatankuasa Etika merangkumi 3 jawatankuasa yang berbeza seperti berikut:
 - (i) Jawatankuasa Etika Universiti untuk Penyelidikan Melibatkan Manusia (JKEUPM);
 - (ii) Jawatankuasa Institusi Penjagaan dan Penggunaan Haiwan (IACUC); dan
 - (iii) Jawatankuasa Keinstitusian Biokeselamatan (IBC).
- (d) Borang-borang permohonan boleh dimuat turun di laman web: <http://www.fmc.tncpi.upm.edu.my/faildokumen>.
- (e) Sekiranya penyelidik memerlukan penilaian etika daripada organisasi luar/ pihak berkuasa berkaitan, penyelidik perlu menghantar salinan keputusan penilaian etika berkenaan kepada urusetia jawatankuasa berkaitan.

3.2.4 Pelaksanaan Projek Penyelidikan Geran UPM

- (a) Penyelidikan perlu dilaksanakan sepertimana kertas cadangan penyelidikan yang telah diluluskan atau dokumen perjanjian penyelidikan yang telah ditandatangani.

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(b) Bagi pelantikan Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik, **rujuk langkah 5 3.5.**

(c) Permohonan pembelian aset penyelidikan boleh dibuat menggunakan **Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET).**

(d) Segala perbelanjaan menggunakan peruntukan geran perlu mendapatkan kelulusan TDP/PIA kecuali bagi perolehan aset yang bernilai RM20,000 per unit dan ke atas (yang memerlukan proses sebut harga / tender) **ATAU** yang tidak dinyatakan dalam kertas cadangan yang diluluskan perlu mendapatkan kelulusan PRMC.

(e) Semasa pelaksanaan penyelidikan, sekiranya terdapat keperluan terhadap perkara di bawah, penyelidik perlu mengisi **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** dan dihantar kepada PRMC untuk pengesahan melalui TDP/PIA;

(i) pertukaran Ketua Program / Ketua Projek;

(ii) perlanjutan tempoh projek; dan

(iii) perubahan agihan peruntukan.


(f) Penyelidik perlu membuat permohonan pertukaran Ketua Projek dengan mengisi **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** sekiranya tidak boleh lagi mengetuai projek (sakit/bersara/tamat kontrak). Maklumat awal berkaitan pertukaran Ketua Projek ini perlu dimaklumkan kepada Ketua PTJ untuk tindakan selanjutnya.

~~(g) Bagi projek yang telah mencapai setahun pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima akan dilaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU). Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh 3 kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~

(h) Penyelidik dan kumpulan penyelidikan perlu mencatatkan kerja penyelidikan dalam buku rekod aktiviti penyelidikan. **Rujuk langkah 5 3.4.**

~~(i) Penyelidik boleh merancang perbelanjaan geran penyelidikan berdasarkan panduan berikut (tertakluk kepada keperluan projek);~~

~~(i) 20% daripada jumlah peruntukan diterima dalam tempoh 6 bulan selepas tarikh mula projek;~~


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- ~~(ii) 60% daripada jumlah peruntukan diterima dalam tempoh setahun pelaksanaan projek; dan~~
~~(iii) 100% daripada keseluruhan peruntukan apabila tamat projek.~~


(j) Penyelidik tidak dibenarkan untuk berbelanja melebihi jumlah peruntukan yang diluluskan.

3.2.5 Pelaporan Geran UPM

- ~~(a) Verifikasi aktiviti penyelidikan perlu dilaksanakan melalui laporan kemajuan berkala untuk memastikan output R&P telah mencapai keperluan input R&P yang dijalankan.~~
- (b) Penyelidik perlu menyediakan laporan kemajuan penyelidikan (LKP) menggunakan **Borang Laporan Kemajuan Penyelidikan (PU/PY/BR09/LKP)** dan **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** sekiranya terdapat output / hasil penyelidikan yang ingin dilaporkan.
- (c) Penyelidik perlu menghantar LKP dua (2) kali setahun ke TDP/PIA. Laporan kemajuan hendaklah **dihantar selewat-lewatnya pada 10 Februari dan 10 Ogos setiap tahun**. LKP pertama perlu mula dihantar sekiranya tempoh pelaksanaan projek **telah mencapai enam (6) bulan pelaksanaan** pada kitaran pemantauan.
- (d) LKP akan dinilai oleh panel yang dilantik oleh PTJ berdasarkan **Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)**. Penilaian adalah tertakluk kepada **sekali setahun bagi setiap projek**.
- (e) Laporan akan dinilai dari segi;
- (i) Pencapaian / kemajuan projek;
 - (ii) Perbelanjaan yang mengikut jadual;
 - (iii) Isu dan masalah yang dihadapi; dan
 - (iv) Penggunaan dan pengemaskinian buku rekod penyelidikan.
- (f) Sekiranya pelaksanaan projek tidak memuaskan, penyelidik akan diminta untuk membuat pembentangan kepada panel penilai PTJ ~~iaitu dalam tempoh 6 bulan selepas tarikh tamat~~ bagi mengenal pasti masalah dan mencadangkan penyelesaian kepada penyelidik.

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- (g) Penyelidik yang gagal mengemukakan laporan mengikut tempoh yang ditetapkan akan dikenakan tindakan penggantungan akaun projek atau tindakan lain. Permohonan pembelian dan pembayaran tidak akan diproses sehingga laporan dihantar ke RMC.
- (h) ~~Penyelidik perlu mengemukakan laporan kemajuan yang tertangguh ke RMC bagi mendapatkan arahan pembatalan penggantungan akaun projek.~~
- (i) Penyelidik perlu menyediakan laporan akhir penyelidikan (LAP) menggunakan **Borang Laporan Akhir Penyelidikan (PU/PY/BR10/LAP)** dan **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)**.
- (j) LAP perlu dihantar kepada TDP/PIA selewat-lewatnya tiga (3) bulan selepas tarikh tamat projek.
- (k) LAP akan dinilai oleh panel yang dilantik oleh PTJ berdasarkan **Borang Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)**. Laporan akan dinilai dari segi;
- (i) Pelaksanaan projek yang mengikut jadual;
 - (ii) Pencapaian output seperti dicadangkan;
 - (iii) Perbelanjaan yang mengikut jadual;
 - (iv) Bilangan penerbitan, pembentangan dalam dan luar negara dan sumber manusia yang dihasilkan berdasarkan garis panduan penaja geran;
 - (v) Isu-isu yang dihadapi dalam pelaksanaan projek ; dan
 - (vi) Penggunaan dan pengemaskinian buku rekod penyelidikan.
- (l) ~~Penyelidik akan menerima 3 kali notis selepas tarikh tamat projek iaitu, notis penutupan akaun, notis kedua bersama pengistiharan penutupan dan notis ketiga adalah surat makluman status akaun dan pencapaian projek.~~
- (m) Penyelidik yang gagal mengemukakan Laporan Akhir Projek melebihi tempoh 3 bulan ~~dan telah diberi 3 kali notis~~ akan dilaporkan dalam JKPU.
- (n) Penyelidik tidak dibenarkan untuk membuat sebarang permohonan perbelanjaan / komitmen baharu selepas tarikh tamat projek.
- (o) Makluman **penutupan akaun** akan dibuat selepas 6 bulan daripada tarikh tamat projek oleh pihak RMC. Sebarang tanggungan perbelanjaan yang tidak diselesaikan selepas akaun projek ditutup adalah tanggungjawab KP.

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- (p) Penyelidik mestilah menyerahkan aset/ inventori di bawah setiap projek yang telah tamat kepada Ketua PTJ. Rujuk **Prosedur Pengurusan Aset (UPM/SOK/KEW-AST/P012)**.

3.3 Panduan Geran Luar

3.3.1 Permohonan Geran Luar

- (a) ~~Sekiranya penyelidik menjalankan rundingan terus dengan pihak penaja/industri, penyelidik perlu memastikan *Non-Disclosure Agreement (NDA)* ditandatangani sebelum perbincangan diadakan. Penyelidik boleh mendapatkan format NDA daripada pihak RMC dan salinan NDA yang telah ditandatangani perlu dihantar ke Pejabat PRMC. *Non-Disclosure Agreement (NDA)* akan ditandatangani mengikut keperluan pihak penaja / industri (jika berkaitan) pada awal perbincangan bersama pihak penaja / industri. Sekiranya terdapat perbincangan yang akan dijalankan secara khusus dan terdapat keperluan mendedahkan maklumat yang *non-public, confidential* dan *propriety in nature*, maka perlu menandatangani NDA. PYB RMC akan menguruskan proses semakan NDA dan proses tandatangan di UPM.~~
- (b) Penyediaan kertas cadangan penyelidikan mestilah mengikut format penaja. Geran lain yang tidak mempunyai format khusus penaja bolehlah menggunakan **Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR)**. Salinan permohonan tersebut perlu dikemukakan ke Pejabat TDP/PIA dan ~~PRMC-TPGP~~.
- (c) Bagi permohonan yang tidak melalui RMC, tanggungjawab penyelidik adalah untuk memaklumkan keputusan permohonan kepada pihak RMC dan TDP/PIA.
- (d) Bagi permohonan yang melalui ~~PRMC~~ RMC, PYB RMC akan menyemak dan menilai kertas cadangan berkenaan tertakluk kepada keperluan penaja geran. Keputusan permohonan daripada penaja akan dimaklumkan oleh ~~PRMC~~ RMC , kepada penyelidik.


~~Bagi geran yang diterima terus daripada penaja (tidak melalui RMC), penyelidik perlu memaklumkan kelulusan kepada TDP/PIA dan PRMC. Dokumen berkaitan perlu dikemukakan bersama untuk makluman dan rekod;~~

~~(i) Surat tawaran daripada penaja; atau~~

~~(ii) Dokumen perjanjian; atau~~

~~(iii) Kertas cadangan penyelidikan; dan~~

~~(iv) Borang pembukaan akaun amanah (jika berkaitan). Dokumen perjanjian (jika ada).~~

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- (e) Bagi geran yang diterima terus daripada penaja (tidak melalui RMC), penyelidik perlu memaklumkan kelulusan kepada TDP/PIA dan PRMC. Dokumen berkaitan perlu dikemukakan bersama untuk makluman dan rekod;
- (i) Surat tawaran dan/atau perjanjian dan / atau apa-apa dokumen yang mengikat (*legally binding*) daripada penaja / industri; dan
 - (ii) Kertas cadangan penyelidikan; dan
 - (iii) Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN) (jika berkaitan).

~~RMC hanya akan menguruskan pembukaan akaun projek bagi projek Geran Nanomite, Translational Research, FRGS, PRGS, TRGS, LRGS, NRGs, eDana MOSTI dan PPRN sahaja.~~


- (f) RMC hanya akan menguruskan pembukaan akaun projek geran penyelidikan KPT (FRGS, TRGS, PRGS, LRGS, Penyelidikan Terjemahan, MyLAB, MyPAIR, dll), eDana MOSTI, PPRN dan MRUN.

~~Bagi geran luar jenis selain yang disebutkan pada perkara 5.3.1 (e), penyelidik perlu menguruskan pembukaan akaun amanah projek dengan melengkapkan Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN) mengikut Garis Panduan Permohonan Pembukaan Akaun Amanah (SOK/KEW/GP024/AKN). Borang yang lengkap beserta surat tawaran dan kertas cadangan penyelidikan / bukti pembayaran/ dokumen perjanjian perlu mendapatkan perakuan PRMC dan Ketua PTJ.~~

- (g) Bagi geran luar jenis selain yang disebutkan pada perkara 3.3.1 (f), penyelidik perlu menguruskan pembukaan akaun amanah projek dengan melengkapkan **Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN)** mengikut Garis Panduan Permohonan Pembukaan Akaun Amanah (SOK/KEW/GP024/AKN). Borang yang lengkap perlulah dilampirkan bersama dengan dokumen pada perkara (e).

- (h) Penyelidik perlu mendaftarkan projek ke dalam sistem PRIMIS dan memberi maklumat nombor akaun amanah yang dibuka kepada RMC dalam tempoh **3 bulan**.

- (i) Bagi permohonan yang melibatkan penggunaan manusia, haiwan dan organisma hidup, penyelidik perlu mendapat kelulusan daripada Jawatankuasa Etika diperingkat universiti melalui Pejabat **PRMC TNCPI** dan pihak berkuasa berkaitan. Jawatankuasa Etika merangkumi 3 jawatankuasa yang berbeza seperti


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berikut:

- (i) Jawatankuasa Etika Universiti untuk Penyelidikan Melibatkan Manusia (JKEUPM);
 - (ii) Jawatankuasa Institusi Penjagaan dan Penggunaan Haiwan (IACUC); dan
 - (iii) Jawatankuasa Keinstitusian Biokeselamatan (IBC).
- (j) Borang-borang permohonan boleh dimuat turun di laman web <http://rmc.upm.edu.my/failedokumen> <http://www.tncpi.upm.edu.my/failedokumen>.
- (k) Sekiranya penyelidik memerlukan penilaian etika daripada organisasi luar/pihak berkuasa berkaitan, penyelidik perlu menghantar salinan keputusan penilaian etika berkenaan kepada urusetia jawatankuasa berkaitan.

3.3.2 Pelaksanaan Geran Luar

- (a) Penyelidikan perlu dilaksanakan sepertimana kertas cadangan penyelidikan yang telah diluluskan atau dokumen perjanjian penyelidikan yang telah ditandatangani **dan dokumen tadbir urus daripada penaja yang berkuatkuasa.**
- (b) Penyelidik boleh merujuk Panduan Kewangan Pengurusan Kewangan Projek Penyelidikan yang berkuatkuasa (dokumen ini boleh dimuat turun dari laman web RMC).
- (c) Bagi pelantikan Pembantu Penyelidik, Pasca Doktorat dan Felo Penyelidik, **rujuk langkah 5 3.5.**
- (d) Permohonan pembelian aset penyelidikan boleh dibuat **menggunakan Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET).** Bagi permohonan pembelian aset penyelidikan bernilai RM20,000 per unit dan ke atas ATAU yang tiada dalam proposal asal, perlu mendapat kelulusan RMC / penaja.
- ~~(e) Segala perbelanjaan menggunakan peruntukan geran perlu mendapatkan kelulusan TDP/PIA kecuali bagi perolehan aset dan inventori yang bernilai RM20,000 per unit dan ke atas ATAU yang tidak dinyatakan dalam kertas cadangan yang diluluskan perlu mendapatkan kelulusan PRMC/penaja.~~
- (f) Semasa pelaksanaan penyelidikan, sekiranya terdapat keperluan terhadap perkara di bawah, penyelidik perlu mengisi borang format penaja atau **Borang**

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Pengurusan Geran (PU/PY/BR39/URUSGERAN) dan hantar kepada PRMC untuk pengesahan melalui TDP/PIA;

- (i) pertukaran Ketua Program / Ketua Projek;
- (ii) perlanjutan tempoh projek; dan
- (iii) perubahan agihan peruntukan.

- (g) Penyelidik perlu membuat permohonan pertukaran Ketua Projek sekiranya tidak boleh lagi mengetuai projek (sakit/bersara/tamat kontrak). Kelulusan adalah tertakluk kepada garis panduan pihak penaja. ~~Maklumat awal berkaitan~~ Pertukaran Ketua Projek ini **perlu mendapatkan kelulusan penaja dan dimaklumkan kepada Ketua PTJ untuk tindakan selanjutnya.**

~~Bagi projek yang telah mencapai setahun pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima, akan dilaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU). Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh 3 kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~

- (h) Penyelidik tidak dibenarkan untuk berbelanja melebihi jumlah peruntukan yang diluluskan.
- (i) ~~Penyelidik perlu memastikan Jawatankuasa Tentukur (JKT) memantau peralatan yang perlu dikalibrasi mengikut jadual yang ditetapkan. Rujuk Prosedur Penentuan Peralatan/ Verifikasi (UPM/SOK/CAL/P001).~~
- (i) Penyelidik dan kumpulan penyelidikan perlu mencatatkan kerja penyelidikan dalam Buku Rekod Aktiviti Penyelidikan. **Rujuk langkah 5.4-3.4**
- ~~(j) Penyelidik boleh merancang perbelanjaan geran penyelidikan berdasarkan panduan berikut (tertakluk kepada keperluan projek);~~
- ~~(i) 20% daripada jumlah peruntukan diterima dalam tempoh 6 bulan selepas tarikh mula projek;~~
 - ~~(ii) 60% daripada jumlah peruntukan diterima dalam tempoh 12 bulan pelaksanaan projek; dan~~
 - ~~(iii) 100% daripada keseluruhan peruntukan apabila tamat projek.~~
- ~~(k) Penyelidik tidak dibenarkan untuk berbelanja melebihi jumlah peruntukan yang diluluskan.~~


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3.3.3 Pelaporan Geran Luar

- (a) ~~Verifikasi aktiviti penyelidikan perlu dilaksanakan melalui laporan kemajuan berkala untuk memastikan output R&P telah mencapai keperluan input R&P yang dijalankan. Penghantaran laporan kemajuan berkala adalah tertakluk kepada keperluan penaja.~~
- (b) Penyelidik perlu memastikan perbelanjaan projek adalah seperti mana proposal yang diluluskan dan / atau dokumen perjanjian yang ditandatangani.
- (c) Laporan kemajuan dan laporan akhir (format borang pihak penaja / industri) perlu dihantar mengikut jadual perbatuan / arahan penaja / industri seperti yang telah dipersetujui dalam perjanjian / garis panduan daripada pihak penaja / industri. Penyelidik perlu menghantar 1 salinan laporan kemajuan dan laporan akhir kepada PYB PTJ dan PYB RMC untuk rekod dan simpanan (jika mendapat kebenaran daripada pihak penaja).
- (d) Sekiranya terdapat **output / hasil penyelidikan, Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** ini boleh dihantar pada bila-bila masa.
- (e) Makluman **penutupan akaun** adalah tertakluk kepada arahan penaja / kontrak perjanjian. Namun PRMC akan / berhak menutup akaun yang ~~tidak menunjukkan sebarang transaksi dalam tempoh 2 tahun dan mengikut Garis Panduan Pengurusan Akaun Amanah (SOK/KEW/GP024/AKN). Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab KP. Seperti mana ketetapan berikut:~~

- i. Bagi akaun 5xxxxx, akaun projek akan ditutup dalam tempoh 6 bulan selepas

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tarikh tamat asal ATAU 3 bulan tarikh tamat lanjutan ATAU sekiranya baki kurang RM 100 ATAU sekiranya tiada pergerakan perbelanjaan dalam tempoh 1 tahun.

- ii. Bagi akaun amanah 63xxxx, penutupan akaun akan dibuat setelah mencukupi tempoh hayat yang ditetapkan dalam Surat Ikatan Amanah ATAU tidak aktif dalam tempoh 12 bulan ~~yang tidak menunjukkan sebarang transaksi dalam tempoh 2-1 tahun dan~~ mengikut Garis Panduan Pengurusan Akaun Amanah (SOK/KEW/GP024/AKN). Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab ~~KP~~ Ketua Projek.

- (f) Penyelidik mestilah menyerahkan aset / inventori di bawah setiap projek yang telah tamat kepada Ketua PTJ. Rujuk **Prosedur Pengurusan Aset (UPM/SOK/KEW-AST/P012)**.

3.4 ~~Buku~~ Rekod Aktiviti Penyelidikan (bagi semua jenis geran penyelidikan)

3.4.1 ~~Penyelidik adalah dinasihatkan untuk menyimpan rekod aktiviti penyelidikan dengan teratur dan selamat. Rekod aktiviti penyelidikan ini adalah penting bagi proses perlindungan harta intelek terhadap hasil penyelidikan ini. dan kumpulan penyelidikan perlu mencatatkan kerja penyelidikan meliputi tujuan, bahan penyelidikan, kaedah yang digunakan, keputusan yang diperolehi serta kesimpulan daripada eksperimen dalam Buku Rekod Aktiviti Penyelidikan seperti berikut:~~


3.4.2 ~~Penyelidik dan kumpulan penyelidikan perlu mencatatkan kerja penyelidikan meliputi tujuan, bahan penyelidikan, kaedah yang digunakan, keputusan yang diperolehi serta kesimpulan daripada eksperimen dalam rekod aktiviti penyelidikan.~~

- (a) ~~Format buku rekod adalah bebas tetapi muka hadapan buku perlu mengandungi, nama penyelidik, nama penyelia (jika ada), tahun mula catatan dan tajuk projek~~

~~(b) Rekod catatan adalah dalam bentuk buku atau dibukukan.~~

~~(c) Kandungan Buku Rekod Aktiviti Penyelidikan perlu diverifikasi oleh ketua projek/ penyelia atau ketua program mengikut kesesuaian setiap eksperimen / aktiviti yang dijalankan.~~

~~(d) Buku Rekod Aktiviti Penyelidikan perlu dihantar bersama-sama penghantaran~~

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~~laporan kemajuan untuk mendapatkan pengesahan TDP/PIA.~~

~~(e) Sepanjang tempoh pelaksanaan, semua penyelidik yang terlibat bertanggungjawab memantau dan menyimpan dengan selamat.~~

~~(f) RMC akan menjalankan semakan secara rawak terhadap pelaksanaan pemantauan Buku Rekod Aktiviti Penyelidikan oleh PTJ.~~

3.5 Permohonan Baharu/ Pembaharuan Perkhidmatan Kontrak Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik

3.5.1 Permohonan (bagi semua jenis geran penyelidikan)

(a) Permohonan perlu dibuat dengan menggunakan borang permohonan yang berkaitan rujuk **Borang Permohonan Felo Pasca Doktor (PU/PY/BR41/PERSONELR&D)**, **Borang Permohonan Felo Penyelidik (PU/PY/BR43/PERSONELR&D)**, **Borang Permohonan Pembantu Penyelidik (PU/PY/BR44/PERSONELR&D)**.

(b) Permohonan hendaklah dihantar ke Pejabat TNCPi melalui Ketua PTJ untuk proses seterusnya.

3.5.2 Penilaian Prestasi


Ketua Projek dan TDP akan memantau prestasi Pembantu Penyelidik, Pasca Doktor, Felo Penyelidik dan Felo Perunding (seperti kehadiran bekerja, permohonan cuti, prestasi dan pelanjutan kontrak) menggunakan **Borang Penilaian Prestasi Penyelidik (PU/PY/BR06/NILAIPRESTASI)** bagi tujuan pembaharuan perkhidmatan kontrak.

3.6 Perlindungan Hasil Penyelidikan

3.6.1 Permohonan (bagi semua jenis geran penyelidikan)

(a) Penyelidik perlu mengisi dan menghantar borang permohonan secara online di www.upmip.upm.edu.my kepada PPSP berdasarkan jenis perlindungan hasil penyelidikan berikut:


- (i) Borang Permohonan Paten;
- (ii) Borang Permohonan Hak Cipta;

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- (iii) Borang Permohonan Cap Dagangan;
- (iv) Borang Permohonan Reka Bentuk Perindustrian; dan
- (v) Borang Permohonan Varieti Tumbuhan Baru.

NOTA : Keterangan lanjut berkenaan dengan jenis-jenis harta intelek boleh dirujuk di laman web Perbadanan Harta Intelek Malaysia (MyIPO).

- (b) Setiap borang permohonan yang dihantar akan dibentangkan oleh penyelidik dan dinilai kesesuaiannya oleh JPHI untuk pemfailan perlindungan. Hanya permohonan yang disokong oleh JPHI sahaja yang akan difailkan dengan penambahbaikan, sekiranya ada.
- (c) Pihak PSP akan membantu dalam proses penderafan dan permohonan pemfailan. Permohonan pemfailan yang telah lengkap akan dimajukan oleh PPSP kepada Perbadanan Harta Intelek Malaysia/ Pesuruhjaya Sumpah.
- (d) Penyelidik akan menerima sesalinan sijil pemfailan/akuan berkanun daripada PSP untuk simpanan.
- (e) Penyelidik akan menerima laporan pemeriksaan MyIPO (kecuali untuk pemfailan hakcipta) bagi penyediaan maklum balas, penambahbaikan atau penyimpanan sampel (jika berkaitan) untuk tujuan pendaftaran.
- (f) Keputusan pendaftaran paten (*patent granted*) akan diterima dalam jangka masa tiga (3) tahun atau lebih bergantung kepada merit setiap kes. Penyelidik akan menerima sesalinan sijil pendaftaran daripada PSP untuk simpanan.


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- (g) Bagi pemfailan paten, penyelidik akan menerima tawaran untuk membuat pemfailan ke luar negara dari PSP sebelum tamat tempoh setahun daripada tarikh pemfailan di Malaysia.
- (h) Bagi penyelidik yang berminat untuk memohon pemfailan luar negara, penyelidik perlu menyediakan kertas cadangan kajian pasaran untuk dibentang dan dinilai oleh JPHI. Keutamaan akan diberikan kepada permohonan yang mempunyai rakan perniagaan.
- (i) Hanya permohonan yang disokong oleh JPHI sahaja yang akan difailkan. Proses seterusnya bagi pemfailan di luar negara adalah sama seperti proses pemfailan di Malaysia.

3.7 Penyebaran Hasil Penyelidikan

3.7.1 Seminar/ Konferensi/ Bengkel/Lawatan Luar Negara

- (a) Permohonan Seminar/ Konferensi/ Bengkel/Lawatan Luar Negara adalah bertujuan untuk membentangkan kertas kerja, menghadiri mesyuarat/bengkel atau membuat lawatan teknikal seperti yang diluluskan dalam kertas cadangan penyelidikan.
- (b) Penyelidik perlu mengemukakan **Borang Menghadiri Seminar/Konferensi/Bengkel/Lawatan ke Luar Negara (PU/PY/BR30/SKBL)** ke Pejabat TDP/PIA sebelum menghadiri seminar / konferensi / bengkel / lawatan luar negara. Permohonan akan dipertimbangkan oleh JKSKBL.
- (c) Bagi permohonan yang berjaya, penyelidik perlu mendapatkan kelulusan Naib Canselor sebelum menghadiri program dengan mengisi permohonan secara online **Sistem Permohonan Luar Negara (SPLN) dan sekiranya** perjalanan melebihi 14 hari, penyelidik perlu mendapatkan kelulusan pihak Kementerian Pengajian Tinggi melalui Pejabat Naib Canselor.
- (d) Penyelidik yang telah berjaya menamatkan program perlu:
- (i) Menghantar **Borang Laporan Perjalanan Ke Luar Negara (PU/PY/BR31/LAPORANSKBL)** kepada TDP/PIA dalam tempoh **sebulan** setelah tamat program yang dihadiri. Kegagalan penyelidik mengemukakan laporan akan menjejaskan permohonan menghadiri seminar ke luar Negara

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pada masa akan datang;

- (ii) Membentangkan laporan dan kertas kerja dalam seminar di peringkat PTJ mengikut perancangan PTJ; dan
- (iii) Menghantar satu salinan kertas kerja yang dibentangkan kepada Ketua Seksyen, Unit Perolehan, Perpustakaan Sultan Abdul Samad, UPM untuk tujuan koleksi bahan rujukan perpustakaan.

3.7.2 Penerbitan Jurnal Pertanika


Bagi penyelidik yang ingin menyebarkan hasil penyelidikan melalui penerbitan Jurnal Pertanika (*Journal Science & Technology/Journal Social Sciences and Humanities/Journal Tropical Agriculture Sciences*), sila rujuk kod etika penerbitan atau berhubung terus dengan Penerbit UPM.

3.7.3 Pameran

- (a) Pameran penyelidikan terbahagi kepada pameran pertandingan dan *trade show*. Penyelidik boleh mendapatkan maklumat pameran penyelidikan yang ingin disertai melalui laman web PSP atau sumber lain sama ada di dalam atau luar negara.
- (b) Sekiranya pameran yang ingin disertai adalah pameran pertandingan, penyelidik perlu memastikan syarat berikut dipenuhi:
 - (i) R&D telah dilindungi;
 - (ii) R&D pernah memenangi anugerah peringkat UPM/institusi luar bagi penyertaan pameran pertandingan peringkat kebangsaan; dan
 - (iii) R&D pernah memenangi anugerah peringkat kebangsaan bagi penyertaan pameran pertandingan peringkat antarabangsa.

3.7.4 Hebahan Media

Penyelidik perlu menghubungi PSP dan menyediakan maklumat lengkap berkenaan hasil penyelidikan yang telah bersedia untuk dihebahkan/promosi melalui media massa (akhbar/majalah/televisyen).

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3.7.5 Suaipadanan Perniagaan/Teknologi

Sekiranya penyelidik ingin menjalankan pengkomersilan, penyelidik perlu melengkapkan **Borang Suai Padanan Teknologi (PU/PY/BR23/SPT)** atau surat permohonan dari syarikat dan dihantar kepada Pejabat PSP.

3.8 Pengkomersilan Hasil Penyelidikan

3.8.1 Penyelidik akan bekerjasama dengan PSP untuk menentukan perkara-perkara berikut:

- (a) jenis kerjasama dengan industri;
- (b) agihan pendapatan; dan
- (c) pelan pemindahan teknologi.

3.8.2 Sekiranya perbincangan berjaya mencapai keputusan untuk pengkomersilan, pihak PSP akan berhubung dengan industri untuk melaksanakan rundingan perniagaan.

3.8.3 Sekiranya persetujuan dicapai diantara PSP dan industri, PSP akan melaksanakan perkara-perkara berikut:

- (a) Mendapatkan kelulusan perjanjian sewajarnya daripada UPM;
- (b) Menyediakan dokumen perjanjian untuk ditandatangani oleh pihak UPM dan pihak industri. Sesalinan perjanjian pengkomersilan yang diterima perlu dihantar ke penyelidik dan TDP/PIA; dan
- (c) Membuat pemantauan kewangan dan pematuhan terma perjanjian ke atas projek pengkomersilan.

3.8.4 Penyelidik perlu memberikan kerjasama dengan PSP sepanjang tempoh perjanjian pengkomersilan berjalan.

1.0 PURPOSE

~~The guidelines explain to researchers on how to apply for research grants, management and implementation of research projects, monitoring, intellectual property protection, dissemination and commercialisation of research results.~~

This guideline is to introduce the grant application methods, management and implementation of research projects, monitoring and protection of intellectual property and dissemination of research findings.

2.0 TERMINOLOGY AND ACRONYM

UPM Grant	:	Universiti Putra Malaysia Grant (except GIPP and KTGS Grants)
External Grant	:	Research grants from government, private and international agencies other than UPM Grant Research grants other than UPM Grants
GIPP Grant	:	Research Incentive Grant in Teaching and Learning
KTGS	:	Knowledge Transfer Grant Scheme
Grant Sponsor	:	Comprises of public and private sectors Comprises of public, private and international agencies
JKE	:	Ethics Committee on Research
JKP	:	Evaluation Committee
JKPU	:	University Research Committee
JKSKBL	:	Committee / Seminar / Conference / Workshop / Overseas Visit
JPHI	:	Intellectual Property Appraisal Committee
KM Portal	:	Knowledge Management Portal
KP	:	Project Leader
PIA	:	Director of the Institute / Academy
PPSP	:	Director of PSP
PSP	:	Putra Science Park
PTJ	:	Centre of Responsibility involved in research activities
PYB	:	Officer in Charge
PRMC	:	Director of RMC
R&P	:	Design and Development
RMC	:	Research Management Centre
TDP	:	Deputy Dean in charge of PTJ's research and innovation portfolio
TNCPI	:	Deputy Vice Chancellor (Research and Innovation)
TPGP	:	Deputy Director, Grant Division, RMC
COMMERCIALIZATION	:	Licensing or Sales of Intellectual Property

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3.0 ~~INSTRUCTION~~ / GUIDE


3.1 Research Design Development and Implementation

3.1.1 Plan Research R&P

- (a) Implementation of R&P research in research proposal should be planned based on strategic plan, research policy, related research ethics, university research program / university field of study, national strategic planning (such as the Malaysia Plan, National Key Result Areas (NKRA), National Key Economic Area (NKEA), Economic Transformation Program (ETP), Malaysian Education Development Plan 2015-2025 (Higher Education), and grant sponsor requirements.
- (b) The stages of the research design should be determined including the review, verification, validation, and appropriate activities at each stage of the research as per the research Gantt chart / milestone and should be updated as necessary.
- (c) Responsibility and jurisdiction for R&P must be determined to include;
 - (i) Other / external parties involved in the implementation of the research including graduate students with clear responsibilities and ensuring effective communication with all parties involved;
 - (ii) Authorisation from the relevant authorities to carry out research.

3.1.2 Research R&P Input Requirements

- (a) Ensure R&P research inputs in the research proposal are complete, clear, adequate and consistent with the objectives, methodology, literature review, previous studies, revenue expectations, and relevant regulatory / act requirements.
- (b) Other inputs to be identified are as follows: -
 - (i) Financial requirements for conducting research, taking into account additional costs such as GST, institutional service charge (eg; PTJ laboratory service charge), equipment calibration, equipment maintenance, and research facilities rental in providing project financial planning;

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- (ii) Raw material / material for research use;
- (iii) Suitable machine or appliance;
- (iv) Competent human resource / researcher;
- (v) Length of time to conduct research;
- (vi) Conducive and suitable working environment; and
- (vii) Management of appropriate resources / information / data.


3.1.3 Research Output R&P Requirements

- (a) R&P outputs are provided in the form that allows verification of R&P input and must be approved before issuance.
- (b) JKP shall review and evaluate the proposal paper in terms of the adequacy of R&P input, complete, clear and consistent with each other.

3.2 UPM Grant Guide

3.2.1 UPM Grant Application

- (a) The preparation of the research proposal must be in the format of the UPM Grant Form which can be downloaded from <http://www.rmc.upm.edu.my/download>.
- (b) The researcher must ensure that the proposal is complete before submitting the research proposal to TDP / PIA in terms of;
 - ~~(i) Compliance with the conditions of application – KP meets the conditions of application (appointment status, citizenship, project in progress, application for allocation not exceeding ceiling specified, number of publications, etc);~~
 - ~~(ii) Take into account additional costs such as GST, PTJ laboratory service charges), calibration of equipment, equipment maintenance and research facility rentals in providing project financial planning; and~~
 - ~~(iii) Adequate information – all spaces in the forms are fully filled by the researcher, signed form, etc.~~

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- (i) Compliance with application requirements – Project Leader must fulfil application requirements (appointment status, citizenship, ongoing project progress, number of publications, etc.);
- (ii) Additional costs – Project Leader must consider the additional costs such as taxes & administrative cost (GST, UPM service charge, etc), equipment calibration and maintenance cost, and research facility rental in preparing the project’s financial plan;
- (iii) Adequacy of documents – Project Leader must include Flow Chart, Gantt Chart, CV of Project Leader, CV of Project Members, proof of publications and other relevant documents;
- (iv) Adequacy of information – Project Leader must complete all parts of the form and sign.

3.2.2 UPM Grant Evaluation


- (a) The researcher must make amendments as recommended by JKP. The amendments will be reviewed by JKP.
- (b) The Researcher must ensure that the revised proposal is complete as per Article 5.2.1 (b) and submitted to PRMC through TDP / PIA within the stipulated time.

3.2.3 Notification of UPM Grants application decision

- (a) The decision of the application will be communicated to the researcher by RMC. A copy of the decision will be sent to TDP / PIA.
- (b) For successful application, the researcher must complete the grant acceptance agreement / sign the agreement and return it to PRMC.
- (c) For applications involving the use of living humans, animals and modified live organisms, the researcher must obtain approval from the university-level Ethics Committee through **PRMC TNCPI Office** and the relevant authorities. The Ethics Committee comprises 3 different committees as follows:
 - (i) University Ethics Committee for Human Research (JKEUPM);
 - (ii) Institutional Animal Care and Use Committee (IACUC); and
 - (iii) Biosecurity Institutional Committee (IBC).

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- (d) Application forms can be downloaded on the website <http://www.rmc.upm.edu.my/faildocument->
<http://www.tncpi.upm.edu.my/faildokumen>.
- (e) If the researcher requires an ethical assessment from the relevant external organisation / authority, the researcher should send a copy of the decision on the ethics assessment to the relevant committee secretariat.

3.2.4 Implementation of UPM Grant Research Project

- (a) Research should be carried out in accordance with the approved research proposal or signed research agreement document.
- (b) For the appointment of Research Assistant, Post-Doctoral and Research Fellow, please refer to step 5 3.5.
- (c) Application for purchase of research assets can may be made using the **Research Asset Acquisition Form (PU / PY / BR45 / ASET)**.
- (d) All expenses using the grant allocation must obtain TDP / PIA approval except for the acquisition of assets worth of valued-at RM20,000 per unit and above (requiring quotation/tender process) **OR** not specified in the approved proposal requires needing-PRMC approval.

~~During the course of the research, if there is a need for the following, the researcher must fill out the Grant Management Form (PU / PY / BR39 / URUSGERAN) and submit it to PRMC for approval through TDP / PIA;~~

~~(i) change of the Program Head / Project Leader;~~


~~(ii) extension of project duration; and~~

~~(iii) changes in the allocation of provisions.~~

- (e) The researcher is required to fill out the Grant Management Form (PU/PY/BR39/URUSGERAN) to seek PRMC approval for the following matters;
- (i) change of Programme Head / Project Leader;
- (ii) extension of project duration; and
- (iii) virement of allocation.

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~~The researcher needs to apply for Project Head change by filling out the Grant Management Form (PU / PY / BR39 / URUSGERAN) if unable to lead the project (sick / retired / contract ended). Preliminary information regarding the Project Leader change should be communicated to the Head of PTJ for further action.~~

- (f) Should the Project Leader is unable to lead the project (sick/ retired/ contract expiry), the preliminary information regarding the change of Project Leader is needed to be communicated to the Head of PTJ for further action. It is necessary for Project Leader to fill up the Grant Management Form (PU/PY/BR39/URUSGERAN) for PRMC approval.


~~A project that has achieved one year of implementation, but the expenditure is less than 30% of the total allocation received, shall be reported at the University Research Committee (JKPU) Meeting. The project will be closed if it does not show an increase in expenditure within 3 meetings without the approval of PRMC.~~

- (g) The researcher and research groups should record their research work in the research activity record book. **Refer to step 5 3.4.**

~~The researcher may plan research grant expenses based on the following guidelines (subject to project requirements);~~

- ~~(i) 20% of the total allocation received within 6 months after the project start date;~~
~~(ii) 60% of the total allocation received within one year of project implementation; and~~
~~(iii) 100% of the total allocation by the end of the project.~~

- (h) The researcher is not allowed to spend more than the approved amount.

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3.2.5 ~~Report of~~ UPM Grant Monitoring

~~Verification of research activities should be carried out through periodic progress reports to ensure that R&P outputs meet the R&P input requirements.~~

~~The researcher should prepare research progress reports (LKP) using the Research Progress Report Form (PU / PY / BR09 / LKP) and Research Output Report Form (PU / PY / BR15 / OUTPUT) if there is a research output / outcome to be reported.~~


- (a) The researcher must report the progress of the project using the Research Progress Report Form (PU/PY/BR09/LKP). However, the Research Output Report Form (PU/PY/BR15/OUTPUT) is only required if there are any output/research findings obtain.

The researcher is required to submit LKP twice (2) a year to TDP / PIA. Progress reports **must be submitted by February 10 and August 10 each year**. The first LKP should be initiated if the project execution period **has reached six (6) months of implementation** in the monitoring cycle.

- (b) The researcher is required to submit two (2) progress reports annually on every 10th of February and 10th of August each year to the TDP/ PIA Office. The first LKP need to be submitted when a project has reached six (6) months of implementation at the monitoring cycle.
- (c) LKP will be evaluated by a panel appointed by the PTJ based on the **Project Performance Evaluation Report Form (PU / PY / BR40 / PRESTASI)**. Assessments are subject to ~~one year per project~~ at least once a year for every project.
- (d) The report will be evaluated in terms of;
- (i) Project achievements / progress **as per schedule**;
 - (ii) Expenses ~~according to schedule~~ **as proposed**; and
 - ~~(iii) Issues and problems encountered; and~~
 - ~~(iv) Use and update of research records.~~


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~~If the project is unsatisfactory, the researcher will be asked to present to the PTJ evaluation panel within 6 months after the due date.~~

- (e) The researcher will need to present to the PTJ evaluation panel if the project deemed unsatisfactory. This is needed to identify problems and suggest the corrective actions for the researcher.
- (f) The researcher who fails to submit a report within the ~~stipulated~~ given time will be subject to project account suspension or other action. Purchase and payment applications will not be processed until the report is sent to RMC.
- ~~(g) The researcher must submit a pending progress report to RMC to obtain a revocation order for the project account.~~
- (h) The researcher ~~should~~ must prepare the final ~~research~~ report (LAP) using the **Final Research Report Form (PU/PY/BR10/LAP)** and the **Research Output Report Form (PU / PY / BR15 / OUTPUT)**.
- (i) LAP must be submitted to TDP/PIA ~~no later than~~ within three (3) months after the project end date.
- (j) LAP will be evaluated by a panel appointed by PTJ based on the **Project Performance Evaluation Form (PU/PY/BR40/PRESTASI)**. The report will be evaluated in terms of;
 - (i) Project implementation on schedule;
 - (ii) Performance of the output as proposed;
 - (iii) Expenditure on schedule;
 - (iv) The number of publications, presentations in the country and abroad and human resources produced under the grant sponsor guidelines;
 - (v) Issues encountered in project implementation; and
 - (vi) Use and update of research records.
- ~~(k) The researcher shall receive 3 notices after the project end date, namely, the account closure notice, the second notice with the closing notice, and the third notice is the letter of account status and the achievement of the project.~~

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- (l) The researcher who fails to submit the Project Final Report for more than 3 months ~~and have been given 3 times notice~~ will be reported to JKPU.
- (m) The researcher is not allowed to make any new expenditure / commitment requests after the project deadline.
- (n) Account closure notification will be made after 6 months from the project end date by RMC. ~~Any expense liability that is not resolved after the project account is closed is KP's responsibility.~~ Any un settle expenses after the closing of the account is incurred by the project leader.
- (o) The researcher must ~~submit~~ hand over the assets/inventory purchased using the grant ~~under each~~ after project ~~completed~~ completion to the Head of PTJ. Please refer to Asset Management Procedures (UPM / SOK / KEW- AST/ P012).

3.3 External Grant Guide

3.3.1 Application of External Grant

~~If the researcher is in direct negotiation with the sponsor / industry, the researcher must ensure that the Non-Disclosure Agreement (NDA) is signed before the discussion. The researcher can obtain the NDA format from RMC and a signed copy of NDA should be sent to PRMC.~~


- (a) Non-Disclosure Agreement (NDA) needs to be signed if there is a disclosure of non-public information, confidential and proprietary in nature during the discussion between the researcher and other parties. The draft of the NDA needs to be sent to PYB RMC for review and sign process.

~~The preparation of the research proposal must be in the sponsor's format. Other grants that do not have a sponsor's specific format may use the **External Grant Application Form (PU / PY / BR02 / GERANLUAR)**. A copy of the application must be submitted to TDP / PIA and PRMC TPGP.~~

- (b) The research proposal needs to be prepared according to the sponsor's format. If there is no specific format from the sponsor, the External Grant Application Form (PU/PY/BR02/GERANLUAR) can be used in preparing the proposal. A copy of the proposal needs to be sent to RMC and TDP / PIA.

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~~For applications that do not go through RMC, the responsibility of the researcher is to inform the results of the application to the PRMC and TDP/PIA.~~

- (c) For applications that do not go through RMC, the responsibility of the researcher is to inform the results of the application to the RMC and TDP/PIA.
- (d) For application submitted through PRMC, PYB RMC will review and evaluate the proposal subject to the requirements of the grant sponsor. The results of the application from the sponsor will be notified communicated to the researcher by PRMC.


~~For grant received directly from sponsors (not through RMC), the researcher must inform TDP / PIA and PRMC for approval. Related documents need to be submitted together for notification and records;~~

- ~~(i) Letter of offer sponsor or
(ii) Agreement document; or
(iii) Research proposal; and
(iv) Form of trust account opening (if applicable).~~

- (e) For the grants received directly from the sponsor (not through RMC), the researcher must inform the approval to TDP/PIA and PRMC. The following documents will be submitted for record purposes;
- (i) Letter of Offer and/or agreement and/or any legally binding document from sponsor/industry; and
 - (ii) Approved research proposal; and
 - (iii) Application Letter of Trust Account (SOK/KEW/BR042/AKN) (if applicable).


~~RMC will only manage project opening for Nanomite, Translational Research, FRGS, PRGS, TRGS, LRGS, NRGs, e-Dana MOSTI, and PPRN.~~

- (f) RMC will only manage the opening of a project account for KPT Research Grant (FRGS, TRGS, PRGS, LRGS, Translational Research, MyLAB, MyPAIR, etc), eDana MOSTI, PPRN and MRUN.

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~~For external grants other than those mentioned in item 5.3.1 (e), the researcher must manage the opening of the project trust account by completing the **Application Letter To Open A Trust Account (SOK / KEW / BR042 / AKN)** in accordance with the Trust Account Opening Application Guidelines (SOK / KEW / GP024 / AKN). The completed form along with the offer letter / proof of payment / agreement document must obtain the approval of PRMC and Head of PTJ.~~

- (g) For other external grants than those stated in item 3.3.1 (e), it is the responsibility of the researcher to manage the opening of the trust account by completing the Application Letter of Trust Account (SOK/KEW/BR042/AKN). The completed form must be submitted together with the offer letter/proof of payment/agreement document for approval of the Head of PTJ and PRMC. Please refer to the Guidelines for Application of Trust Fund Opening (SOK/KEW/GP024/AKN).
- (h) The researcher need to register the projects in PRIMIS system and must ~~provide~~ update the ~~information of~~ trust account number ~~opened~~ to RMC within **3 months**.
- (i) For application involving human, animal and living organisms, the researcher must obtain approval from the University Ethics Committee through **PRMC TNCPI Office** and the relevant authorities. The Ethics Committee comprises 3 different committees as follows:
- (i) the University Ethics Committee for Human Research (JKEUPM);
 - (ii) Institutional Animal Care and Use Committee (IACUC); and
 - (iii) Biosecurity Institutional Committee (IBC).
- (j) The application forms can be downloaded at: ~~http://rmc.upm.edu.my/filedocument~~. <http://www.tncpi.upm.edu.my/faildokumen>.
- (k) ~~Should~~ **if** the researcher requires an ethical assessment from ~~the relevant~~ external organization / authority, the researcher ~~should~~ **must** send a copy of the decision on the ethics assessment to the ~~relevant committee~~ secretariat **at TNCPI Office**.

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3.3.2 External Grant **Application** Execution

~~Research should be carried out in accordance with approved research proposal or signed research agreement document~~


- (a) Research should be carried out in accordance with the approved proposal or signed research agreement and in adherence to the documents in force by the sponsor.
- (b) Researchers may refer to the Research Project Financial Management Guide which can be downloaded from the RMC website.
- (c) For the appointment of Research Assistant, Post-Doctoral and Research Fellow, please refer to step 5.3.5.

~~All expenses using the grant allocation shall be subject to TDP / PIA approval except for the procurement of assets and inventories of RM20,000 per unit and above OR not specified in the approved proposal paper should obtain PRMC / sponsor approval.~~

- (d) All expenses using the grant allocation should obtain approval from TDP/PIA. The approval of PRMC is required in the acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation/tender) OR assets that are not stated in the approved proposal.
- (e) The researcher can make an application to purchase research assets using the Research Asset Acquisition Form (PU/PY/BR45/ASET).

~~During the course of the research, if there is a need for the following, the researcher must fill out the sponsor format form or **Grant Management Form (PU / PY / BR39 / URUSGERAN)** and submit to PRMC for approval through TDP / PIA;~~

- (i) the change of the Program Head / Project Leader;
- (ii) extension of project duration; and
- (iii) changes in the allocation of provisions.

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- (f) The researcher is required to fill out the Grant Management Form (PU/PY/BR39/URUSGERAN) to seek PRMC approval for the following matters;
- (i) change of Programme Head / Project Leader;
 - (ii) extension of project duration; and
 - (iii) virement of allocation.

~~The researcher needs to apply for Project Leader change if he/she is unable to lead the project (sick / retired / contract ended). Approval is subject to the sponsor's guidelines. Preliminary information regarding the Project Leader change should obtain be the approval of the sponsor and notified communicated to the Head of PTJ for further action.~~

- (g) Should the Project Leader is unable to lead the project (sick/ retired/ contract expiry), the preliminary information regarding the change of Project Leader is needed to be communicated to the Head of PTJ for further action. It is necessary for Project Leader to fill up the Grant Management Form (PU/PY/BR39/URUSGERAN) for PRMC approval.

~~For a project that has achieved one year of implementation but the expenditure is less than 30% of the total allocation received, it shall be reported at the University Research Committee (JKPU) Meeting. The project will be closed if it does not show an increase in expenditure within 3 meetings without the approval of the PRMC.~~

- (h) Researchers are not allowed to spend more than the approved allocation amount.

~~Researchers need to ensure that the Calibration Committee (JKT) monitors the equipment that needs to be calibrated according to the set schedule. Refer to Equipment Calibration/Verification Procedure (UPM/SOK/CAL/P001).~~


- (i) The researcher and research groups should record their research work in the **R** research **A** activity **R** record **Book**. **Refer to step 5 3.4.**

~~The researcher may plan research grant expenses based on the following guidelines (subject to project requirements);~~

- ~~(iv) 20% of the total allocation received within 6 months after the project start date;~~
- ~~(v) 60% of the total allocation received within 12 months of project~~

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~~implementation; and
(vi) 100% of the total allocation by the end of the project.~~

~~(b) The researcher is not allowed to spend more than the approved amount.~~

3.3.3 External Grant Reporting

~~Verification of research activities should be carried out through periodic progress reports to ensure that R&P outputs meet the R&P input requirements. Submission of periodic progress reports is subject to sponsor requirements.~~

(a) The researcher must ensure the project spending is according to the approved proposal and/or as stated in signed agreement documents.

~~Progress reports and final reports must be submitted in accordance with the sponsorship schedule / instructions as agreed in the agreement / guidelines of the sponsor~~

(b) The researcher must ensure that the progress report and the final report (in sponsor's format) is submitted according to schedule OR as agreed in the agreement OR in accordance with sponsor/industry guidelines OR whenever requested by the sponsor/industry. A copy of the progress reports and the final report need to be submitted to PYB RMC for record purposes (with permission from the sponsor/industry).


~~In the event of **research output / results, the Research Output Report Form (PU / PY / BR15 / OUTPUT)** may be submitted at any time.~~

(c) Research Output Report Form (PU/PY/BR15/OUTPUT) can be submitted at any time if there are research findings/outputs that need to be reported

~~**Account closure** notice is subject to the sponsor / contract agreement instructions. However PRMC will / entitled to close accounts~~

(d) Notice of account closure is subject to the order of sponsor/contract agreement. However, RMC will / has the right to close any account as follows;

(i) For 5xxxxx account, the project account will be closed within 6 months after the original expiry date OR 3 months of the extended expiry date OR if the balance is less

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than RM 100 OR if there is no movement of expenditure within 1 year.

- (ii) For trust account 63xxxx, account closure will be made after sufficient life period specified in the Trust Deed OR inactive within 12 months according to the Trust Account Management Guidelines (SOK/KEW/GP024/AKN). Any unpaid expenses after the project account is closed is the responsibility of the Project Leader. Any unmet expenses after the closing of the account is incurred by the project leader.

~~The researcher must deliver the assets / inventory under each project completed to the Head of PTJ. Refer to **Procedure for Asset Management (UPM / SOK / KEW-AST / P012)**.~~

- (e) The researcher must hand over the assets/inventory purchased using the grant after project completion to the Head of PTJ. Please refer to Asset Management Procedures (UPM / SOK / KEW-AST/ P012).

3.4 Research Activity Record ~~Book~~ (for all types of research grants)

3.4.1 Researchers are advised to keep records of research activities in an orderly and secure manner. The record of this research activity is important for the process of intellectual property protection of the results of this research

3.4.2 The researcher and research groups should record their research work including objectives, research materials, methods used, results obtained and conclusions from experiments in the ~~R~~ research ~~A~~ activity ~~R~~ record ~~Book as follows:~~


~~(a) The record book format is not fixed but the cover of the book must contain, the name of the researcher, the name of the supervisor (if any), the year of entry and title of the project.~~

~~(b) The record of the record is in the form of a book or made into a book.~~

~~(c) The contents of the Research Activity Record Book should be verified by the project leader / supervisor or program leader in accordance with each experiment / activity conducted.~~

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~~(d) Research Activity Record Book should be sent along with submission of progress report for TDP / PIA approval.~~

~~(e) During the implementation period, all the researchers involved are responsible for monitoring and storing safely.~~

~~(f) RMC will conduct a random review of the implementation of the PTJ's Research Activity Record Book Monitoring.~~

3.5 New Application / Renewal of Research Assistant, Post Doctoral and Research Fellowship Services

3.5.1 Application (for all types of research grants)

(a) Applications must be made using the relevant application forms refer to the **Post-Doctoral Fellowship Application Form (PU / PY / BR41 / PERSONELR & D)**, the **Researcher Fellowship Application Form (PU / PY / BR43 / PERSONELR & D)**, the **Research Assistant Application Form (PU / PY / BR44 / PERSONELR & D)**.

(b) Application must be submitted to TNCPI through the Head of PTJ for further action.

3.5.2 Performance Evaluation

The Project Leader and TDP will monitor the performance of the Research Assistants, Post-Doctoral, Research Fellow and Consulting Fellows (such as attendance, leave applications, performance and contract extension) using the **Researcher Performance Evaluation Form (PU / PY / BR06 / NILAIPRESTASI)** for the purpose of contract renewal.

3.5.3 Verification and Approval

Verification and approval will be given by the Research Select Committee. The guidelines can be found at <https://tncpi.upm.edu.my/faildokumen?L=en>.

3.6 Research Outcome Protection

3.6.1 Application (for all types of research grants)

(a) The researcher must fill out and submit the online application form at www.upmip.upm.edu.my to PPSP based on the following types of research results protection:

- (i) Patent Application Form;
- (ii) Copyright Application Form;
- (iii) Trademark Application Form;
- (iv) Industrial Design Application Form; and
- (v) New Plant Variety Application Form.

NOTE: Further information on these types of intellectual property can be found at the website of the Intellectual Property Corporation of Malaysia (MyIPO).

(b) Each application form will be submitted by the researcher and evaluated by the JPHI for the filing of the protection. Only applications supported by JPHI will be filed for improvement, if any.

(c) PSP will assist in the filing and application of the filing. Completed filing applications will be forwarded by PPSP to the Malaysian Intellectual Property Corporation / Oath Commissioner.

(d) The researcher will receive a copy of the statutory filing / declaration certificate from PSP for record.

(e) The researcher will receive MyIPO inspection reports (except for copyright filings) for the preparation of feedback, improvement or storage of samples (if applicable) for registration purposes.

(f) The result of the patent granted shall be accepted within three (3) years or more depending on the merits of each case. The researcher will receive a copy of the

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3.7 Research Outcome Protection

3.7.1 Application (for all types of research grants)

(g) The researcher must fill out and submit the online application form at www.upmip.upm.edu.my to PPSP based on the following types of research results protection:


- (i) Patent Application Form;
- (ii) Copyright Application Form;
- (iii) Trademark Application Form;
- (iv) Industrial Design Application Form; and
- (v) New Plant Variety Application Form.

NOTE: Further information on these types of intellectual property can be found at the website of the Intellectual Property Corporation of Malaysia (MyIPO).

- (h) Each application form will be submitted by the researcher and evaluated by the JPHI for the filing of the protection. Only applications supported by JPHI will be filed for improvement, if any.
- (i) PSP will assist in the filing and application of the filing. Completed filing applications will be forwarded by PPSP to the Malaysian Intellectual Property Corporation / Oath Commissioner.
- (j) The researcher will receive a copy of the statutory filing / declaration certificate from PSP for record.
- (k) The researcher will receive MyIPO inspection reports (except for copyright filings) for the preparation of feedback, improvement or storage of samples (if applicable) for registration purposes.
- (l) The result of the patent granted shall be accepted within three (3) years or more depending on the merits of each case. The researcher will receive a copy of the

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registration certificate from PSP for record.

- (m) For patent filing, the researcher will receive an offer to apply overseas from PSP before the expiry of one year from the date of filing in Malaysia.
- (n) For researcher interested in applying for overseas filings, the researcher must prepare a market research proposal for review and evaluation by JPHI. Priority will be given to application with business partners.
- (o) Only application supported by JPHI will be filed. The next process for filing overseas is the same as the filing process in Malaysia.

3.8 Dissemination of Research Results

3.8.1 Seminar / Conference / Workshop / Overseas Visit

- (a) Application for Seminar / Conference / Workshop / Overseas Visit ~~is intended~~ **is for the researcher who intended** to present the paper, attend meetings / workshops or make technical visits as approved in the research proposal.
- (b) The researcher needs to submit **Seminar / Conference / Workshop / Overseas Visit (PU/PY/BR30/SKBL) Form** to TDP/PIA before attending the seminar / conference / workshop / overseas visit. Application will be considered by JKSKBL.
- (c) For **the** successful application, the researcher must obtain the Vice Chancellor's approval before attending the program by filling out the online application of the **Overseas Travel Application System (SPLN)** and if the journey is longer than 14 days, the researcher must obtain the approval of the Ministry of Higher Education through the Office of the Vice Chancellor.
- (d) The researcher who has successfully completed the program should:
 - (i) Submit the **Overseas Travel Report Form (PU/PY/BR31/LAPORANSKBL)** to

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TDP/PIA within one month of completing the program. Failure of the researcher to submit a report will affect the application for future seminars abroad;

- (ii) Present report and papers in seminar at PTJ level in accordance with PTJ plan; and
- (iii) Send a copy of the paper presented to the Section Chief, Procurement Unit, Sultan Abdul Samad Library, UPM for the purpose of collection of library reference materials.

3.8.2 Publication in Pertanika Journal


For researcher who wishes to disseminate research results through publication in the Journal of Science and Technology (Journal of Social Science and Humanities / Journal of Tropical Agriculture Sciences), please refer to the publication's ethics code or contact the UPM Publisher directly.

3.8.3 Exhibition

(a) Research exhibitions are divided into competition and trade shows. The researcher can find information on research exhibitions that they would like to access via the PSP website or other sources, locally or overseas.

(b) In the event that the exhibition is to be contested, the researcher must ensure that the following conditions are met:

- (i) R&D is protected;
- (ii) R&D has won the UPM / external institution award for participation in national competition exhibitions; and
- (iii) R&D has won national level awards for participation in international competition exhibitions.

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3.8.4 Dissemination via Media

The researcher should contact PSP and provide complete information on the results of the research that is ready for publication / promotion through mass media (newspapers / magazines / television).

3.8.5 Business / Technology Compatibility

If the researcher wishes to undertake commercialisation, the researcher must complete the **Technology Compatibility Form (PU / PY / BR23 / SPT)** or application form from the company and submit it to PSP.

3.9 Commercialisation of Research Results

3.9.1 The researcher will work with PSP to determine the following:


- (a) the type of cooperation with the industry;
- (b) income distribution; and
- (c) technology transfer plan.

3.9.2 In the event of successful negotiations for commercialisation, PSP will contact the industry to conduct business negotiations.

3.9.3 If agreement is reached between PSP and industry, PSP will implement the following:

- (a) Obtain approval of the appropriate agreement from UPM;
- (b) Provide agreement documents to be signed by UPM and industry. A copy of the commercial agreement received should be sent to the researcher and TDP / PIA; and
- (c) Conduct financial monitoring and compliance with the terms of the agreement on commercialization projects.

3.9.4 The researcher needs to cooperate with PSP throughout the duration of the commercialisation agreement.


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1.0 TUJUAN

Garis panduan ini bertujuan menerangkan kepada pegawai yang bertanggungjawab di PTJ tentang kaedah permohonan geran, pengurusan dan pelaksanaan projek penyelidikan, pemantauan, perlindungan harta intelek dan penyebaran hasil penyelidikan.

2.0 TERMINOLOGI DAN SINGKATAN

Geran UPM	:	Geran Universiti Putra Malaysia (kecuali Geran GIPP dan KTGS)
Geran Luar	:	Geran penyelidikan daripada agensi kerajaan, swasta dan antarabangsa Selain Geran UPM Geran penyelidikan selain Geran UPM
Geran GIPP	:	Geran Insentif Penyelidikan dalam Pengajaran dan Pembelajaran
KTGS	:	<i>Knowledge Transfer Grant Scheme</i>
Penaja Geran	:	Terdiri daripada pihak awam dan swasta Terdiri daripada agensi kerajaan, swasta dan antarabangsa
JKE	:	Jawatankuasa Etika berkaitan penyelidikan
JKP	:	Jawatankuasa Penilai
JKPU	:	Jawatankuasa Penyelidikan Universiti
JKSKBL	:	Jawatankuasa Seminar/Konferensi/Bengkel/Lawatan ke Luar
Negara JPHI	:	Jawatankuasa Penilaian Harta Intelek
KM Portal	:	<i>Knowledge Management Portal</i>
KP	:	Ketua Projek
PIA	:	Pengarah Institut / Akademi
PPSP	:	Pengarah PSP
PSP	:	<i>Putra Science Park</i>
PTJ	:	Pusat Tanggungjawab yang terlibat dalam aktiviti
penyelidikan PYB	:	Pegawai Yang Bertanggungjawab
PRMC	:	Pengarah RMC
R&P	:	Reka bentuk dan Pembangunan
RMC	:	<i>Research Management Centre</i> (Pusat Pengurusan Penyelidikan)
TDP	:	Timbalan Dekan yang bertanggungjawab di dalam portfolio penyelidikan dan inovasi di PTJ
TNCPI	:	Timbalan Naib Canselor (Penyelidikan dan
Inovasi) TPGP	:	Timbalan Pengarah, Bahagian Geran, RMC

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3.0 ~~ARAHAN/~~ PANDUAN


3.1 Pengurusan Geran UPM

3.1.1 Permohonan Geran UPM

- (a) TDP/PIA hendaklah memastikan kertas cadangan penyelidikan yang dihantar mengikut format Borang Geran UPM yang boleh dimuat turun di laman web <http://www.rmc.upm.edu.my/muatturun>.
- (b) PYB PTJ perlu menyemak kertas cadangan penyelidikan berdasarkan senarai semak yang disediakan oleh RMC dari segi:
 - (i) **Pematuhan kepada syarat permohonan** – KP memenuhi syarat-syarat permohonan (status lantikan, kewarganegaraan, projek sedang dalam pelaksanaan, bilangan penerbitan, dsb);
 - (ii) **Kos sampingan** - Penyelidik telah mengambil kira kos sampingan seperti cukai GST, kalibrasi peralatan, penyelenggaraan peralatan dan sewaan fasiliti penyelidikan dalam menyediakan perancangan kewangan projek;
 - (iii) **Kecukupan dokumen** – Carta Alir, Gantt Chart, CV Ketua Projek, CV Ahli projek, bukti penerbitan dan lain-lain dokumen yang diperlukan;
 - (iv) **Kecukupan maklumat** – semua ruangan borang diisi dengan lengkap oleh penyelidik, borang ditandatangani, dsb.
- (c) PYB PTJ perlu memastikan dokumen permohonan yang dihantar kepada PRMC lengkap sepertimana berikut;
 - (i) Senarai semak dokumen dikepikan dimuka hadapan kertas cadangan penyelidikan; dan
 - (ii) Senarai ringkasan permohonan PTJ mengikut format yang disediakan oleh pihak RMC.
- (d) PYB PTJ perlu menyimpan dan merekod salinan dokumen permohonan.

3.1.2 Penilaian Geran UPM

- (a) TDP/PIA akan membantu pihak RMC dalam mengenalpasti pasukan panel yang sesuai sebagai ahli Jawatankuasa Panel Penilai (JKP).
- (b) TDP/PIA perlu memastikan KP membuat pindaan sepertimana yang dicadangkan oleh JKP.

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- (c) PYB PTJ memastikan kertas cadangan dipinda yang dihantar semula adalah lengkap sepertimana di perkara 5.1.1(b) dan dihantar bersama-sama senarai ringkasan permohonan PTJ yang telah dikemaskini.

3.1.3 Makluman Keputusan Permohonan Geran UPM

- (a) Keputusan permohonan akan dimaklumkan kepada penyelidik oleh PRMC. Salinan keputusan akan dihantar kepada TDP/PIA.
- (b) PYB RMC akan menguruskan pembukaan akaun projek dengan pihak Bendahari.
- (c) PYB PTJ perlu mewujudkan fail projek bagi setiap permohonan yang berjaya.
- (d) Dokumen perjanjian berkaitan projek (jika ada) boleh dirujuk dengan pihak RMC.

3.1.4 Pelaksanaan Projek Geran UPM

- (a) TDP/PIA perlu memproses permohonan pelantikan Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik. **Rujuk langkah 5.4 3.3.**
- (b) Penyelidik membuat permohonan pembelian aset penyelidikan menggunakan **Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET).**
- (c) Segala perbelanjaan menggunakan peruntukan geran perlu mendapatkan kelulusan TDP/PIA kecuali bagi perolehan aset yang bernilai RM20,000 per unit dan ke atas (yang memerlukan proses sebut harga / tender) **ATAU** yang tidak dinyatakan dalam kertas cadangan yang diluluskan perlu mendapatkan kelulusan PRMC.
- (d) TDP/PIA perlu mengesahkan dan menghantar **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** kepada PRMC bagi permohonan berkaitan keperluan projek berikut;
- (i) pertukaran Ketua Program / Ketua Projek;
 - (ii) perlanjutan tempoh projek; dan
 - (iii) perubahan agihan peruntukan.
- (e) Ketua PTJ bertanggungjawab memastikan Ketua Projek mengisi **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** sekiranya tidak boleh lagi mengetuai projek (sakit / bersara / tamat kontrak / meninggal dunia).

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Maklumat awal berkaitan pertukaran Ketua Projek ini perlu dimaklumkan kepada PRMC untuk tindakan selanjutnya.

- (f) TDP/PIA perlu memastikan Jawatankuasa Tentukur (JKT) memantau peralatan yang perlu dikalibrasi mengikut jadual yang ditetapkan. Rujuk **Prosedur Penentuan Peralatan/ Verifikasi (UPM/SOK/CAL/P001)**.
- (g) Ketua PTJ perlu memastikan makmal diurus dan diselenggara mengikut peraturan yang ditetapkan. Rujuk **Garis Panduan Pengurusan Dan Keselamatan Makmal/Bengkel (SOK/LAB/GP01/PKM)**.
- (h) **TDP/PIA** perlu memastikan Buku Rekod Aktiviti Penyelidikan diwujudkan dan dikemaskini bagi penyelidik dan kumpulan penyelidikan mencatatkan kerja penyelidikan. **Rujuk Langkah 5.3 – Buku Rekod Aktiviti Penyelidikan.**

3.1.5 Pemantauan Perbelanjaan & Pencapaian Projek Geran UPM


(a) Pemantauan Perbelanjaan Projek

~~TDP/PIA perlu mendapatkan laporan perbelanjaan kewangan setengah tahun daripada Bendahari dan memantau perbelanjaan projek berdasarkan panduan berikut (tertakluk kepada keperluan projek);~~

- ~~• 20% daripada jumlah peruntukan diterima dalam tahun tersebut dalam tempoh 6 bulan selepas tarikh mula projek;~~
- ~~• 60% daripada jumlah peruntukan diterima dalam tahun tersebut dalam tempoh setahun pelaksanaan projek; dan~~
- ~~• 100% daripada keseluruhan peruntukan apabila tamat projek.~~

(i) TDP/PIA perlu memastikan penyelidik membuat perbelanjaan projek adalah seperti mana proposal yang diluluskan dan / atau dokumen perjanjian yang ditandatangani.

~~(ii) Bagi projek yang telah mencapai setahun pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima akan dilaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU). Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh 3 kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~

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(b) Pemantauan Laporan Kemajuan Projek (LKP)

- (i) TDP/PIA perlu memastikan penyelidik mengemukakan laporan dua kali setahun dan dihantar selewat-lewatnya pada setiap **10 Februari dan 10 Ogos** ke Pejabat TDP/ PIA.
- (ii) TDP/PIA perlu memastikan LKP pertama mula dihantar oleh penyelidik sekiranya tempoh pelaksanaan projek **telah mencapai 6 bulan pelaksanaan** pada kitaran pemantauan.

~~TDP/PIA perlu memastikan penyelidik menghantar laporan kemajuan (LKP) menggunakan **Borang Laporan Kemajuan Penyelidikan (PU/PY/BR09/LKP)** dan **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** sekiranya terdapat output / hasil penyelidikan yang ingin dilaporkan.~~

- (iii) TDP/PIA perlu memastikan penyelidik mengemukakan laporan kemajuan (LKP) menggunakan **Borang Laporan Kemajuan Penyelidikan (PU/PY/BR09/LKP)**. Walau bagaimanapun, **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** juga diperlukan jika terdapat output / hasil penyelidikan yang perlu dilaporkan.


(c) Penilaian Laporan Kemajuan Projek

- (i) Ketua PTJ perlu melantik ahli jabatan yang sesuai sebagai panel penilai PTJ untuk menilai pencapaian laporan kemajuan projek.

~~Panel penilai PTJ yang dilantik akan membuat penilaian terhadap prestasi projek berdasarkan **Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)** dari segi;~~

- ~~• Pencapaian / kemajuan projek;~~
- ~~• Perbelanjaan yang mengikut jadual~~
- ~~• Isu dan masalah yang dihadapi; dan~~
- ~~• Penggunaan dan pengemaskinian Buku Rekod Aktiviti Penyelidikan. Buku Rekod Aktiviti Penyelidikan perlu disemak secara berkala setiap kali penghantaran laporan kemajuan projek.~~

- (ii) Panel penilai PTJ yang dilantik akan membuat penilaian terhadap prestasi projek berdasarkan **Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)** dari segi;
- Pencapaian / kemajuan projek mengikut jadual;
 - Perbelanjaan seperti yang dicadangkan; dan

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- Isu dan masalah yang dihadapi oleh penyelidik

~~Penilaian adalah tertakluk kepada **sekali setahun bagi setiap projek. Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)** yang sama perlu digunapakai pada setiap kali penilaian dijalankan sepanjang tempoh projek.~~

- (iii) Penilaian adalah tertakluk kepada sekurang-kurangnya **sekali setahun bagi setiap projek. Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)** yang sama perlu digunapakai pada setiap kali penilaian dijalankan sepanjang tempoh projek.

~~TDP/PIA perlu mengemukakan;~~

- ~~Ringkasan Pemantauan Projek kepada PRMC mengikut format dan senarai projek yang perlu dipantau yang disediakan oleh pihak RMC selewat-lewatnya pada **16 Februari dan 16 Ogos bagi setiap kitaran.**~~


- (iv) TDP/PIA perlu mengemukakan Ringkasan Pemantauan Projek kepada PRMC selewat-lewatnya pada **16 Februari dan 16 Ogos bagi setiap kitaran.**

~~TDP/PIA perlu memastikan projek yang tidak memuaskan dari senarai yang di kemukakan oleh PYB RMC untuk membuat pembentangan kepada panel penilai PTJ iaitu dalam tempoh **6 bulan** selepas tarikh tamat bagi mengenalpasti masalah dan tindakan pembetulan yang perlu diambil oleh penyelidik.~~

- (v) TDP/PIA perlu memastikan projek-projek yang mempunyai prestasi yang tidak memuaskan untuk dibentangkan kepada panel PTJ. Langkah ini diperlukan untuk mengenal pasti masalah dan mencadangkan tindakan pembetulan yang perlu diambil oleh penyelidik.

~~TDP/PIA perlu mengambil maklum sekiranya penyelidik gagal mengemukakan laporan mengikut tempoh yang ditetapkan, penyelidik akan dikenakan tindakan penggantungan akaun projek atau tindakan lain. Permohonan pembelian dan pembayaran tidak akan diproses sehingga laporan dihantar ke RMC.~~

- (vi) TDP/PIA perlu memberi perhatian kepada penyelidik yang gagal mengemukakan laporan dalam tempoh yang ditetapkan. Akaun mereka mesti digantung dan semua permohonan untuk pembelian dan

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pembayaran tidak boleh diproses sehingga laporan dihantar kepada RMC.

~~PYB PTJ perlu memfailkan LKP di dalam fail projek di PTJ dan memastikan salinan asal LKP dihantar kepada pihak RMC (simpan di PTJ).~~

(vii) PYB PTJ dikehendaki menyimpan salinan asal LKP hanya dalam fail projek di PTJ dan tidak perlu menghantar salinan kepada RMC.

(d) Pemantauan Laporan Akhir Projek (LAP)

(i) TDP/PIA perlu memastikan penyelidik menghantar laporan akhir **dalam tempoh tiga (3) bulan selepas tarikh tamat projek** ke Pejabat TDP/PIA menggunakan **Borang Laporan Akhir Penyelidikan (PU/PY/BR10/LAP)** dan **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)**.

~~TDP/PIA perlu menghantar peringatan kepada KP sekiranya laporan masih belum diterima.~~

(ii) Sekiranya LAP masih tidak diterima dalam selepas tempoh berkenaan, adalah menjadi tanggung-jawab TDP/PIA untuk memberikan peringatan berulang kali kepada Ketua Projek.


(e) Penilaian Laporan Akhir Projek (LAP)

~~TDP/PIA perlu membuat penilaian terhadap LAP berdasarkan **Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)** dari segi;~~

- ~~● Penghantaran laporan;~~
- ~~● Pelaksanaan projek yang mengikut jadual;~~
- ~~● Pencapaian output seperti dicadangkan;~~
- ~~● Perbelanjaan yang mengikut jadual;~~
- ~~● Bilangan penerbitan, pembentangan dalam dan luar negara dan sumber manusia yang dihasilkan berdasarkan garis panduan penaja geran;~~
- ~~● Isu-isu yang dihadapi dalam pelaksanaan projek; dan~~
- ~~● Penggunaan dan pengemaskinian Buku Rekod Aktiviti Penyelidikan.~~

(i) TDP/PIA perlu membuat penilaian terhadap LAP berdasarkan Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI) dari segi;

- Prestais keseluruhan projek;
- Pencapaian milestone projek yang mengikut jadual;
- Pencapaian output seperti dicadangkan;
- Perbelanjaan seperti dicadangkan;

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- (ii) TDP/PIA perlu mengemukakan dokumen-dokumen berikut kepada PRMC:
- Salinan asal **Borang Laporan Akhir Penyelidikan (PU/PY/BR10/LAP)** atau borang format penaja;
 - Salinan asal **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)**;
 - Salinan asal **Borang Laporan Penilaian Prestasi Projek (PU/PY/BR40/PRESTASI)**; dan
 - ~~Ringkasan Pemantauan — Projek dan senarai projek yang perlu dipantau pada kitaran tersebut mengikut format yang disediakan oleh pihak RMC.~~
 - Ringkasan Pemantauan Projek mengikut format yang disediakan oleh pihak RMC.

~~(iii) TDP/PIA perlu memastikan penyelidik menerima 3 kali notis selepas tarikh tamat projek iaitu, notis penutupan akaun, notis kedua bersama pengistiharan penutupan dan notis ketiga adalah surat makluman status akaun dan pencapaian projek daripada pihak RMC.~~

~~(f) TDP/PIA perlu memberi maklumbalas daripada penyelidik yang gagal mengemukakan Laporan Akhir Projek melebihi tempoh 3 bulan dan telah diberi 3 kali notis yang telah dilaporkan dalam JKPU.~~

(g) Makluman penutupan akaun akan dibuat **6 bulan daripada tarikh tamat projek** oleh pihak RMC.


(h) TDP/PIA perlu memastikan penyelidik tidak membuat sebarang permohonan perbelanjaan / komitmen baharu selepas tarikh tamat projek. Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab KP.

(i) PYB PTJ perlu merekodkan aset/inventori bagi setiap projek yang telah tamat yang diserahkan oleh penyelidik. Rujuk **Prosedur Pengurusan Aset (UPM/SOK/KEW- AST/P012)**.

3.2 Pengurusan Geran Luar

3.2.1 Permohonan Geran Luar

~~TDP/PIA perlu memastikan sebarang kerjasama yang melibatkan pihak industri perlu menandatangani *Non-Disclosure Agreement (NDA)* sebelum~~

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~~perbincangan dijalankan.~~

- (a) TDP/PIA perlu memastikan sekiranya terdapat perbincangan yang akan dijalankan secara khusus dan terdapat keperluan mendedahkan maklumat yang non-public, confidential dan propriety in nature, maka perlu menandatangani *Non Disclosure Agreement* (NDA). Draf NDA dihantar kepada PYB RMC untuk proses semakan NDA dan proses tandatangan di UPM.

~~TDP/PIA perlu memastikan kertas cadangan penyelidikan disediakan mengikut format penaja. Bagi geran lain yang tidak mempunyai format khusus penaja, salinan Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR) beserta dokumen sokongan hendaklah dihantar kepada PYBRMC/PRMC. Kertas cadangan tersebut hendaklah dihantar kepada TPGP.~~

- (b) TDP/PIA perlu memastikan kertas cadangan penyelidikan disediakan mengikut format penaja. Bagi geran lain yang tidak mempunyai format khusus penaja, salinan Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR) beserta dokumen sokongan hendaklah dihantar kepada PYB RMC.

~~Keputusan permohonan daripada penaja akan dimaklumkan oleh PRMC kepada penyelidik. Salinan akan dihantar kepada TDP/PIA (jika berkaitan).~~

- (c) Keputusan permohonan daripada penaja akan dimaklumkan oleh penyelidik / PRMC untuk makluman TDP/PIA. Salinan keputusan akan dihantar kepada TDP/PIA (jika berkaitan).

~~Persetujuan penerimaan geran / perjanjian projek akan dihantar terus kepada PRMC oleh penyelidik~~

~~Bagi geran yang diterima terus daripada penaja (tidak melalui RMC), penyelidik akan memaklumkan kelulusan kepada TDP/PIA dan PRMC. Dokumen berkaitan akan dikemukakan bersama untuk makluman dan rekod;~~

~~(i) Surat tawaran daripada penaja; atau~~


~~(ii) Dokumen perjanjian;~~

~~(iii) Kertas cadangan penyelidikan; dan~~

~~(iv) Borang pembukaan akaun amanah (jika berkaitan).~~

- (d) Bagi geran yang diterima terus daripada penaja (tidak melalui RMC), penyelidik akan memaklumkan kelulusan kepada TDP/PIA dan PRMC. Dokumen berkaitan akan dikemukakan bersama untuk makluman dan rekod;

(i) Surat tawaran dan / atau perjanjian / atau apa-apa dokumen yang mengikat

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(legally binding) daripada penaja / industri; dan

- (ii) Kertas cadangan penyelidikan; dan
- (iii) Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN).

~~RMC hanya akan menguruskan pembukaan akaun projek bagi projek Geran Nanomite, Translational Research, FRGS, PRGS, TRGS, LRGS, NRGs, eDana MOSTI dan PPRN sahaja.~~


- (e) RMC hanya akan menguruskan pembukaan akaun projek geran penyelidikan KPT (FRGS, TRGS, PRGS, LRGS, Penyelidikan Terjemahan, MyLAB, MyPAIR, dll), eDana MOSTI, PPRN dan MRUN.

~~Bagi geran luar jenis selain yang disebutkan pada perkara 5.2.1 (f), PYB PTJ perlu mendapatkan tandatangan pengesahan daripada PRMC untuk **Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN)** dan menguruskan pembukaan akaun amanah dengan pihak Bendahari PTJ. Rujuk **Garis Panduan Permohonan Pembukaan Akaun Amanah (SOK/KEW/GP024/AKN)**.~~

- (f) Bagi geran luar jenis selain yang disebutkan pada perkara 3.2.1 (e), PYB PTJ perlu mendapatkan tandatangan pengesahan daripada PRMC untuk **Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN)** dan menguruskan pembukaan akaun amanah dengan pihak Sekyen Kewangan Akaun Amanah, Pejabat Bursar. Rujuk **Garis Panduan Permohonan Pembukaan Akaun Amanah (SOK/KEW/GP024/AKN)**.
- (g) TDP/PIA perlu menyemak semua dokumen (berkaitan) geran yang diperolehi daripada penaja yang bukan melalui RMC sama ada projek perundingan atau projek penyelidikan. Hanya projek penyelidikan perlu dihantar kepada PYB RMC untuk rekod.
- (h) Satu salinan dokumen perjanjian projek yang dihantar oleh RMC, perlulah disimpan dalam fail projek di PTJ.
- (i) TDP/PIA perlu memastikan permohonan yang melibatkan penggunaan manusia, haiwan dan organisma hidup, penyelidik perlu mendapat kelulusan daripada Jawatankuasa Etika diperingkat universiti melalui Pejabat TNCPI dan pihak berkuasa berkaitan.

3.2.2 Pelaksanaan Projek Geran Luar

- (a) TDP/PIA perlu memastikan penyelidikan dilaksanakan sepertimana kertas cadangan penyelidikan yang telah diluluskan atau dokumen perjanjian penyelidikan yang telah ditandatangani dan dokumen tadbir urus daripada penaja

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yang berkuatkuasa.

- (b) TDP/PIA boleh merujuk Panduan Kewangan Pengurusan Kewangan Projek Penyelidikan yang berkuatkuasa (dokumen ini boleh dimuat turun dari laman web RMC).

~~TDP/PIA perlu memproses permohonan pelantikan Pembantu Penyelidik, Pasca-Doktoral dan Felo Penyelidik. Rujuk langkah 5.4.~~

- (c) TDP/PIA perlu memproses permohonan pelantikan Pembantu Penyelidik, Pasca Doktorat dan Felo Penyelidik. Rujuk langkah 3.3.

~~Penyelidik membuat permohonan pembelian aset penyelidikan menggunakan Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET).~~

- (d) Penyelidik membuat permohonan pembelian aset penyelidikan menggunakan **Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET)**. Bagi permohonan pembelian aset penyelidikan bernilai RM20,000 per unit dan ke atas ATAU yang tiada dalam proposal asal, perlulah mendapat kelulusan RMC / penaja.


~~(e) Segala perbelanjaan menggunakan peruntukan geran perlu mendapatkan kelulusan TDP/PIA kecuali bagi perolehan aset yang bernilai RM20,000 per unit dan ke atas ATAU tidak dinyatakan dalam kertas cadangan yang diluluskan perlu mendapatkan kelulusan PRMC / penaja.~~

- (f) TDP/PIA perlu mengesahkan dan menghantar borang format penaja atau **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** kepada P PYB RMC bagi permohonan berkaitan keperluan projek berikut:

- (i) Pertukaran Ketua Program / Ketua Projek;
- (ii) Perlanjutan tempoh projek; dan
- (iii) Perubahan agihan peruntukan.

- (g) Ketua P TJ bertanggungjawab memastikan Ketua Projek mendapat kelulusan dari pihak penaja sekiranya tidak boleh lagi mengetuai projek (sakit/ bersara/tamat kontrak). Maklumat awal berkaitan pertukaran Ketua Projek ini perlu dimaklumkan kepada PRMC untuk tindakan selanjutnya.

- (h) TDP/PIA perlu memastikan Jawatankuasa Tentukur (JKT) memantau peralatan yang perlu dikalibrasi mengikut jadual yang ditetapkan. Rujuk **Prosedur Penentuan Peralatan/ Verifikasi (UPM/SOK/CAL/P001)**.

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(i) Ketua PTJ perlu memastikan makmal diselenggara mengikut peraturan yang ditetapkan. Rujuk **Garis Panduan Pengurusan dan Keselamatan Makmal/Bengkel (SOK/LAB/GP01/PKM)**.

~~(j) TDP/PIA perlu memastikan Buku Rekod Aktiviti Penyelidikan diwujudkan dan dikemaskini bagi penyelidik dan kumpulan penyelidikan mencatatkan kerja penyelidikan. Rujuk Langkah 5.3 Buku Rekod Aktiviti Penyelidikan.~~

3.2.3 Pemantauan Projek Geran Luar

(a) TDP/PIA perlu memastikan penyelidik membuat perbelanjaan projek adalah seperti mana proposal yang diluluskan dan / atau dokumen perjanjian yang ditandatangani.

~~TDP/PIA akan memastikan perbelanjaan projek berdasarkan panduan berikut (tertakluk kepada keperluan projek);~~

- ~~(i) 20% daripada jumlah peruntukan diterima dalam tempoh 6 bulan selepas tarikh mula projek;~~
- ~~(ii) 60% daripada jumlah peruntukan diterima dalam tempoh setahun pelaksanaan projek; dan~~
- ~~(iii) 100% daripada keseluruhan peruntukan apabila tamat projek.~~


~~(b) Bagi projek yang telah mencapai setahun pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima akan dilaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU). Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh 3 kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~

(c) TDP/PIA hendaklah memastikan laporan kemajuan dan laporan akhir (**format borang pihak penaja / industri**) perlu dihantar mengikut jadual

perbatuan/arahan penaja / **industri** seperti yang telah dipersetujui dalam kontrak perjanjian/garis panduan penaja / **industri**. **TDPI / PIA** perlu memastikan 1 salinan laporan kemajuan dan laporan akhir dihantar kepada **PYB RMC** untuk rekod dan simpanan (jika mendapat kebenaran daripada pihak penaja).

(d) Sekiranya terdapat output / hasil penyelidikan, **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** ini boleh dihantar pada bila-bila masa.

Makluman penutupan akaun adalah tertakluk kepada arahan penaja/kontrak perjanjian. Namun PRMC akan / berhak menutup akaun yang tidak menunjukkan sebarang transaksi dalam tempoh 2 tahun dan


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- (e) Makluman **penutupan akaun** adalah tertakluk kepada arahan penaja/kontrak perjanjian. Namun PRMC akan / berhak menutup akaun seperti mana ketetapan berikut;
- i. Bagi akaun 5xxxxx, akaun projek akan ditutup dalam tempoh 6 bulan selepas tarikh tamat asal ATAU 3 bulan tarikh tamat lanjutan ATAU sekiranya baki kurang RM 100 ATAU sekiranya tiada pergerakan perbelanjaan dalam tempoh 1 tahun.
 - ii. Bagi akaun amanah 63xxxx, penutupan akaun akan dibuat setelah mencukupi tempoh hayat yang ditetapkan dalam Surat Ikatan Amanah ATAU tidak aktif dalam tempoh 12 bulan mengikut Garis Panduan Pengurusan Akaun Amanah (SOK/KEW/GP024/AKN). Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab Ketua Projek.
- (f) PYB PTJ perlu merekodkan aset/inventori bagi setiap projek yang telah tamat yang diserahkan oleh penyelidik. Rujuk **Prosedur Pengurusan Aset (UPM/SOK/KEW- AST/P012)**.

3.3 Buku Rekod Aktiviti Penyelidikan

~~3.3.1 TDP/PIA perlu memastikan Buku Rekod Aktiviti Penyelidikan diwujudkan dan dikemaskini bagi penyelidik dan kumpulan penyelidikan mencatatkan kerja penyelidikan mengikut format seperti berikut:~~

- ~~(a) Format buku rekod adalah bebas tetapi muka hadapan buku perlu mengandungi, nama penyelidik, nama penyelia (jika ada), tahun mula catatan dan tajuk projek.~~
- ~~(b) Rekod catatan adalah dalam bentuk buku atau dibukukan.~~
- ~~(c) Kandungan Buku Rekod Aktiviti Penyelidikan perlu disahkan/diverifikasi oleh ketua projek/ penyelia atau ketua program mengikut kesesuaian setiap eksperimen / aktiviti yang dijalankan.~~
- ~~(d) Buku Rekod Aktiviti Penyelidikan perlu dihantar bersama-sama penghantaran laporan kemajuan untuk mendapatkan pengesahan TDP/PIA.~~
- ~~(e) Sepanjang tempoh pelaksanaan, semua penyelidik yang terlibat bertanggungjawab memantau dan menyimpan dengan selamat.~~
- ~~(f) RMC akan menjalankan semakan secara rawak terhadap pelaksanaan~~

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~~pemantauan Buku Rekod Aktiviti Penyelidikan oleh PTJ.~~

3.4 Permohonan Baharu / Pembaharuan Perkhidmatan Kontrak Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik

3.4.1 Permohonan (bagi semua jenis geran)

- (a) PYB PTJ akan menyemak dan melengkapkan permohonan Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik melalui borang permohonan yang dihantar oleh penyelidik.
- (b) Bagi lantikan Pembantu Penyelidik (RA), surat tawaran akan dikeluarkan oleh Ketua PTJ. PYB PTJ hendaklah menghantar dokumen berikut ke Bahagian Pentadbiran Pejabat TNCPI untuk tujuan rekod:
 - (i) salinan **Borang Permohonan Pembantu Penyelidik (PU/PY/BR44/PERSONELR&D);**
 - (ii) salinan surat tawaran; dan
 - (iii) salinan pengesahan melapor diri.
- (c) Bagi lantikan Pasca Doktor dan Felo Penyelidik, borang permohonan hendaklah dihantar kepada Ketua Pentadbiran, Pejabat TNCPI untuk diperakukan oleh Jawatankuasa Pemilih (Penyelidikan) dan diluluskan oleh Naib Canselor. Surat tawaran dikeluarkan oleh Pejabat Pendaftar.

3.4.2 Penilaian Prestasi

TDP/PIA hendaklah **memantau** Ketua Projek membuat penilaian prestasi Pembantu Penyelidik, Pasca Doktor, Felo Penyelidik dan Felo Perunding dengan menggunakan **Borang Penilaian Prestasi Penyelidik (PU/PY/BR06/NILAI PRESTASI)** untuk memperbaharui kontrak.


3.4.3 Perakuan dan Kelulusan

Perakuan dan kelulusan akan diberikan oleh Jawatankuasa Pemilih Penyelidikan. Garispanduan boleh dirujuk dilaman web <http://www.tncpi.upm.edu.my/faildokumen>.

3.5 Perlindungan Hasil Penyelidikan

3.5.1 PTJ perlu menggalakkan penyelidik melindungi hasil penyelidikan yang dihasilkan.

3.5.2 PYB PTJ perlu merekodkan salinan sijil pemfailan dan sijil pendaftaran perlindungan hasil penyelidikan yang diterima daripada pihak PSP.

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3.6 Penyebaran Hasil Penyelidikan

3.6.1 Seminar/Konferensi/Bengkel/Lawatan Luar Negara (SKBL)


- (a) Ketua PTJ perlu menyokong permohonan untuk menghadiri Seminar/Konferensi/Bengkel/Lawatan Luar Negara melalui **Borang Menghadiri Seminar/Konferensi/Bengkel/Lawatan ke Luar Negara (PU/PY/BR30/SKBL)** yang diterima daripada pemohon.
- (b) Salinan keputusan JKSKBL akan dihantar kepada Ketua PTJ. Ketua PTJ perlu mengesahkan **Borang Permohonan Ke Luar Negara (SOK/KEW/BR035/BYR)** bagi mendapatkan kebenaran Pegawai Pengawal. Rujuk **Garis Panduan Permohonan Ke Luar Negara Institusi Pengajian Tinggi Awam (IPTA)** di dalam borang berkenaan.
- (c) TDP/PIA perlu memantau penghantar **Borang Laporan Perjalanan Ke Luar Negara (PU/PY/BR31/LAPORANSKBL)** oleh penyelidik yang telah ke luar negara dan menghantar satu (1) salinan laporan **(PU/PY/BR31/LAPORANSKBL)** kepada PYBRMC dalam tempoh sebulan setelah tamat event yang dihadiri. Penyelidik yang gagal mengemukakan laporan dalam tempoh yang ditetapkan, **tidak akan dipertimbangkan** bagi menghadiri seminar ke luar Negara **sekurang- kurangnya setahun** sehingga laporan lengkap mengenainya dikemukakan.
- (d) PYB PTJ perlu merancang sesi pembentangan laporan bagi penyelidik yang telah menghadiri SKBL mengikut jadual PTJ.

3.6.2 Penerbitan Jurnal Pertanika

TDP/PIA perlu menggalakkan penyelidik menyebarkan hasil penyelidikan melalui penerbitan seperti Jurnal Pertanika (*Journal Science & Technology/Journal Social Sciences and Humanities/Journal Tropical Agriculture Sciences*), sila rujuk kod etika penerbitan atau berhubung terus dengan Penerbit UPM.

3.6.3 Pameran

- (a) TDP/PIA perlu menggalakkan penyelidik mempromosikan hasil penyelidikan melalui pameran pertandingan atau *tradeshow* yang dihebahkan oleh PSP.
- (b) TDP/PIA akan membantu mendapatkan maklumat hasil penyelidikan daripada penyelidik dan menyediakan kemudahan logistik kepada penyelidik bagi pameran yang akan disertai.

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- (c) PYB PTJ akan membantu penyelidik dalam menyediakan bahan pameran (poster/brosur/direktori/sampel produk) mengikut format yang disediakan oleh pihak PSP.

3.6.4 Hebahkan Media

- (a) TDP/PIA perlu menggalakkan penyelidik dan mengenalpasti hasil penyelidikan yang bersesuaian untuk dihebahkan kepada media.
- (b) PYB PTJ akan membantu PPSP mendapatkan maklumat hasil penyelidikan untuk dihebahkan kepada pihak media.
- (c) PYB PTJ akan membantu menyediakan kemudahan tempat/lokasi bagi sesi sidang media/penggambaran hasil penyelidikan.

3.6.5 Pengkomersilan Hasil Penyelidikan

- (a) TDP/PIA perlu menggalakkan penyelidik dan membantu PSP mendapatkan maklumat hasil penyelidikan daripada penyelidik yang berpotensi untuk dikomersilkan.
- (b) PYB PTJ perlu merekodkan salinan dokumen perjanjian/ dokumen berkaitan bagi pengkomersilan hasil penyelidikan yang diterima daripada pihak PSP.

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1.0 PURPOSE


~~This~~ ~~These~~ guidelines explains ~~about~~ grant application methods, management and implementation of research projects, monitoring and protection of intellectual property and dissemination of research findings.

2.0 TERMINOLOGY AND ACRONYM

UPM Grant	:	Universiti Putra Malaysia Grant (except GIPP and KTGS Grants)
External Grant	:	Research grants from government, private and international agencies- Other than UPM Grant Research grants other than UPM Grants
GIPP Grant	:	Research Incentive Grant in Teaching and
Learning KTGS	:	Knowledge Transfer Grant Scheme
Grant Sponsor	:	Comprises of public and private sectors Comprises of public, private and international agencies
JKE	:	Research Ethics Committee
JKP	:	Evaluation Committee
JKPU	:	University Research Committee
JKSKBL	:	Seminar/Conference/Workshop/Visit to Overseas
Committee JPHI	:	Intellectual Property Evaluation Committee
KM Portal	:	Knowledge Management
Portal KP	:	Project Leader
PIA	:	Institute / Academy Director
PPSP	:	PSP Director
PSP	:	Putra Science Park
PTJ	:	Centre of Responsibility involved in research
activities PYB	:	Officer in charge
PRMC	:	RMC Director
R&P	:	Design & Development
RMC	:	Research Management Centre (Pusat Pengurusan Penyelidikan)
TDP	:	Deputy Dean involved in PTJ's research and innovation portfolio
TNCPI	:	Deputy Vice Chancellor (Research and Innovation)
TPGP	:	Deputy Director, Grant Division, RMC

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3.0 ~~INSTRUCTION/GUIDELINE~~

3.1 Management of UPM Grant

3.1.1 Application for UPM Grant

~~TDP/PIA must ensure that the research proposal is submitted in accordance to the UPM Grant Form format that is available for download at <http://www.rmc.upm.edu.my/muatturun>.~~


- (a) TDP/PIA must ensure that the research proposal is submitted following the UPM Grant Form format that is available for download at <http://www.rmc.upm.edu.my/muatturun>

~~PYB PTJ should review the research proposal based on the checklist provided by RMC in terms of:~~

- ~~(i) **Compliance to application requirements** – KP fulfills application requirements (appointment status, citizenship, project in progress, number of publications, etc.);~~
 - ~~(ii) **Additional costs** – Researcher must take into consideration additional costs such as GST, equipment calibration and maintenance and research facility rental in preparing project's financial plan;~~
 - ~~(iii) **Adequacy of documents** – Flow Chart, Gantt Chart, CV of Project Leader, CV of Project Members, proof of publication and other relevant documents;~~
 - ~~(iv) **Adequacy of information** – all parts of the form should be duly completed and signed by the researcher etc.~~
- (b) PYB PTJ should review the research proposal based on the checklist provided by RMC in terms of:
- (i) Compliance with application requirements – KP fulfills application requirements (appointment status, citizenship, ongoing project progress, number of publications, etc.);
 - (ii) Additional costs – Researcher must take into consideration additional costs such as taxes & administrative cost (GST, UPM service charge, etc), equipment

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calibration and maintenance cost, and research facility rental in preparing project's financial plan;

- (iii) Adequacy of documents – must include Flow Chart, Gantt Chart, CV of Project Leader, CV of Project Members, proof of publications and other relevant documents;
 - (iv) Adequacy of information – all parts of the form should be duly completed and signed by the researcher etc.
- (c) PYB PTJ should ensure that application documents sent to RMC are complete as listed;
- (i) Document Checklist is attached on the cover of research proposal paper; and
 - (ii) Summary List of PTJ applications follows the format provided by RMC.

~~PYB PTJ should store and record copy of application document.~~

- (d) PYB PTJ should store and record a copy of the application document.

3.1.2 Evaluation of UPM Grant

~~TDP/PIA will assist RMC in identifying suitable team to form the Evaluation Panel Committee (JKP).~~


~~TDP/PIA should ensure that KP makes amendments proposed by JKP.~~

~~PYB PTJ ensures that the revised proposal paper is resubmitted as in item 5.1.1(b) together with PTJ's updated summary of list of applications.~~

- (a) TDP/PIA will assist RMC to identify a suitable panel to form the Evaluation Panel Committee (JKP).
- (b) TDP/PIA must ensure that KP makes amendments as proposed by JKP.
- (c) PYB PTJ ensures that the revised proposal is resubmitted as in item 3.1.1(b) together with an updated summary of applications from the PTJ.

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3.1.3 Notification of UPM Grant Application Result

~~The results of application will be informed to the researchers by PRMC. A copy of the result will be sent to the TDP/PIA.~~

~~PYB RMC will manage the opening of project account with the Bursar.~~

~~PYB PTJ should create a project file for each successful application.~~

~~A project agreement (if any) can be referred to RMC.~~

- (a) The application result will be notified to the researchers by PRMC. A copy of the result will be sent to the TDP/PIA.
- (b) PYB RMC will manage the opening of the project account with the Bursar.
- (c) PYB PTJ must create a project file for each successful application.
- (d) If there are any matters related to the agreement, please refer to the RMC.

3.1.4 Implementation of UPM Grant Project


~~TDP/PIA should process the application of appointment of Research Assistant, Post-Doctoral and Research Fellow. Refer step 5.4.~~

~~Researcher makes application to purchase of research assets using the Research Asset Purchase Form, known as **Research Asset Acquisition Form (PU/PY/BR45/ASET)**.~~

~~All expenses using the grant allocation should obtain approval from TDP/PIA except for acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation / tender) **OR** assets not stated in the proposal paper approved needs the approval of PRMC.~~

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- (a) TDP/PIA should refer to step 3.2 in processing the application of Research Assistant, Post-Doctoral and Research Fellow appointment.
- (b) The researcher can make an application to purchase research assets using the Research Asset Acquisition Form (PU/PY/BR45/ASET).
- (c) All expenses using the grant allocation should obtain approval from TDP/PIA. The approval of PRMC is required in the acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation/tender) OR assets that are not stated in the approved proposal.

~~TDP/PIA should confirm and send the Grant Management Form, known as **Grant Management Form (PU/PY/BR39/URUSGERAN)** to PRMC for applications related to the following requirements of the project;~~

~~(iv) change of Programme Head / Project Leader;~~

~~(v) extension of project duration; and~~

~~(vi) change of allocation distribution.~~


- (d) TDP/PIA should review and endorse the following request submitted by the researcher through Grant Management Form (PU/PY/BR39/URUSGERAN) and forward it for PRMC approval;
- (i) change of Programme Head / Project Leader;
 - (ii) extension of project duration; and
 - (iii) virement of allocation.

~~Head of PTJ is responsible in ensuring Project Leader completes the **Grant Management Form (PU/PY/BR39/URUSGERAN)** if no longer able to head the project (ill / retired / end of contract / passed away). Early notification regarding the change of project leader should be forwarded immediately to PRMC for further action.~~

- (e) The PTJ Head is responsible for ensuring Project Leader completes the Grant Management Form (PU/PY/BR39/URUSGERAN) if they are no longer able to lead the project (ill / retired / end of contract / passed away). Early notification regarding the change of Project Leader should be forwarded immediately to PRMC for further action.

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~~TDP/PIA should ensure the Calibration Committee (JKT) monitors calibrated equipment according to schedule set. Refer to Calibration Procedure/ Equipment Verification, known as **Procedure For Equipment Calibration/ Verification (UPM/SOK/CAL/P001)**.~~

(f) TDP/PIA should ensure the Calibration Committee (JKT) monitor the equipment to be calibrated according to the set schedule. Please refer to the **Procedure For Equipment Calibration/ Verification (UPM/SOK/CAL/P001)**.

~~(j) Head of PTJ should ensure that laboratory is managed and maintained according to existing regulations. Refer to Guidelines on the Management and Safety of Laboratory/Workshop known as **Lab/Workshop Management and Safety Guidelines (SOK/LAB/GP01/PKM)**.~~

(g) The PTJ Head should ensure that the laboratory is managed and maintained according to existing regulations. Please refer to Lab/Workshop Management and Safety Guidelines (SOK/LAB/GP01/PKM).


~~(k) **TDP/PIA** should ensure that the Research Activity Record Book is established and updated for researcher and research team to record research activities. Refer to step 5.3 – **Research Activity Record Book**.~~

3.1.5 Monitoring of Expenditure & Achievement of UPM Grant Project

a) Monitoring of Project Expenditure

~~TDP/PIA should obtain a half-yearly financial expenditure report from the Bursar and monitor project expenditure based on the following guidelines (subject to project requirements);~~

- ~~• 20% of total allocation received during the year, within 6 months after the~~

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~~project start date;~~

- ~~• 60% of total allocation received during the year, within a year of project implementation; and~~
- ~~• 100% of total allocation, at project completion.~~

(i) TDP/PIA needs to ensure the project expenses is according to the approved proposal and/or as stated in signed agreement documents.

~~(ii) For projects that have achieved one year of implementation but expenditure is **less than 30% of total allocation received** will be reported to the University Research Committee Meeting (JKPU). The project will be closed/stopped if it does not show an increase in expenditure within the next 3 meetings without any justifications approved by RMC.~~

b) Monitoring of Project Progress Report (LKP)

(i) TDP/PIA should ensure that researchers submit two reports annually and send them latest by every **10 February and 10 August** to the TDP/ PIA Office.

~~(iii) TDP/PIA should ensure that researcher submits the first LKP if project implementation period **has reached 6 months of implementation** in the monitoring cycle.~~


~~(iv) TDP/PIA should ensure that the researcher submits the progress report (LKP) using the Research Progress Report Form known as **Research Progress Report Form (PU/PY/BR09/LKP)** and Research Output Report Form, known as **Research Output Report Form (PU/PY/BR15/OUTPUT)** if there are output / research findings to be reported.~~

(ii) TDP/PIA should ensure the first LKP is submitted by the researcher if the project period has reached 6 months of implementation at the monitoring cycle.

(iii) TDP/PIA should ensure that the researcher submits the progress report (LKP) using Research Progress Report Form (PU/PY/BR09/LKP).

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However, the Research Output Report Form (PU/PY/BR15/OUTPUT) is also required if there are output/research findings that need to be reported.

c) Evaluation of ~~Project~~-Progress Report

~~The Head of PTJ should appoint a suitable department member as PTJ's evaluation panel to evaluate the project progress report.~~

- (i) The PTJ Head should appoint a suitable department member as PTJ's evaluation panel to evaluate the project progress report.

~~The appointed PTJ evaluation panel will evaluate project performance based on the Project Performance Evaluation Report form, known as **Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI)** in terms of;~~

- ~~• Project achievement / progres~~
- ~~• Expenditure that follows schedule;~~
- ~~• Issues and problems faced; and~~
- ~~• Use and update of Research Activity Record Book. The Research Activity Record Book should be periodically checked each time a project progress report is submitted.~~

- (ii) The appointed PTJ panel will evaluate the project performance based on **Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI)** in terms of;


- Project achievement/progress based on the project schedule
- Expenditure as proposed; and
- Issues and problems faced by the researcher.

~~Evaluation is conducted **once every year for each project**. The same **Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI)** has to be used each time evaluation is carried out during the project period.~~

- (iii) The evaluation needs to be conducted at least once a year for every project. The same **Project Performance Evaluation Report Form**

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(PU/PY/BR40/PRESTASI) need to be used throughout the project period.

~~(iv) TDP/PIA must submit;~~

- ~~• Project Monitoring Summary to PRMC according to the format and list of projects to be monitored by RMC latest by **16 February dan 16 August for each cycle.**~~

(v) TDP/PIA must submit Project Monitoring Summary to PRMC latest by 16 February dan 16 August for each monitoring cycle.

~~TDP/PIA should ensure that unsatisfactory projects from the list submitted by PYB RMC to be presented to the PTJ evaluation panel **within 6 months** after the deadline to identify problems and corrective actions that needs to be taken by researcher.~~

(vi) TDP/PIA should ensure projects with unsatisfactory performance to be presented to the PTJ panel. This measure is needed to identify problems and suggest the corrective actions that need to be taken by the researcher.

~~TDP/PIA should take note if researcher fails to submit report within the stipulated time, researcher will be subject to project account suspension or other action. Applications for purchase and payment will not be processed until the report is sent to RMC.~~


(vii) TDP/PIA should pay attention to the researcher who fails to submit a report within the stipulated time. Their account must be **BR10d** and all applications for purchase and payment must not be processed until the report is sent to RMC.

~~PYB PTJ should file the LKP in the project file at PTJ and ensure that the original copy of the LKP is sent to RMC (keep at PTJ).~~

(viii) PYB PTJ is required to keep the original copy of LKP only in the project file at the PTJ and does not need to send a copy to RMC.

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d) Monitoring of Final Project Report (LAP)

~~TDP/PIA must ensure that the researcher submits the final report within three (3) months after project completion date to TDP/PIA Office using the Research Final Report Form, known as **Final Research Report Form (PU/PY/BR10/LAP)** and Research Output Report Form, known as **Research Output Report Form (PU/PY/BR15/OUTPUT)**.~~

- (i) TDP/PIA must ensure that the researcher submitted the **Research Final Report Form (PU/PY/BR10/LAP)** and **Research Output Report Form (PU/PY/BR15/OUTPUT)** within three (3) months after the project end date to TDP/PIA Office.

~~TDP/PIA should send a reminder to KP if report is still not received.~~

- (ii) If the LAP is were not received within the said period, it is the responsibility of the TDP/PIA to give repeated reminders to the Project Leader.

e) Evaluation of Final Project Report(LAP)

~~(iv) TDP/PIA should evaluate the LAP based **Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI)** in terms of;~~


- ~~• Report submission;~~
- ~~• Project implementation according to schedule;~~
- ~~• Output achievement proposed;~~
- ~~• Expenditure according to schedule;~~
- ~~• Number of publication, local and abroad presentations and human resources generated based on guidelines provided by grant-sponsors;~~
- ~~• Issues faced in the implementation of project; and~~
- ~~• Use and updating of Research Activity Record Book.~~

(iii) TDP/PIA is required to evaluate the LAP based on the Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI) in terms of;

- Overall project performance;

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- Milestone achievement as scheduled;
- Output achievement as proposed;
- Expenses as proposed;

~~TDP/PIA should present the following documents to PRMC:~~

- ~~• Original copy of **Final Research Report Form (PU/PY/BR10/LAP)** or sponsor format form;~~
- ~~• Original copy of **Research Output Report Form (PU/PY/BR15/OUTPUT)**;~~
- ~~• Original copy of **Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI)**; and~~
- ~~• Project Monitoring Summary and list of projects to be monitored on that cycle according to the format set by RMC.~~

(iv) TDP/PIA should ensure these document must be submitted to PRMC:

- Original copy of Final Research Report Form (PU/PY/BR10/LAP) or sponsor format form;
- Original copy of Research Output Report Form (PU/PY/BR15/OUTPUT);
- Original copy of Project Performance Evaluation Report Form (PU/PY/BR40/PRESTASI); and
- Project Monitoring Summary according to the format set by RMC.

~~(v) TDP/PIA should ensure researchers receive 3 notices after the date of project completion, notice of account closure, second mutual notice on declaration of closure and the third notice is letter of information on account status and project achievement from RMC.~~


~~TDP/PIA should give feedback from researchers who fail to present the Final Project Report exceeding 3 months and has been served 3 notices that has been reported in JKPU.~~

~~Information of account closure will be made **6 months from the date of project completion** by RMC.~~

f) A notification letter of account closure will be sent by the RMC after 6 months of the project completion date.

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~~TDP/PIA should ensure researchers do not make any new application of expenditure / commitment after project completion date. Any unexplained expenditure after project account closure is the responsibility of Project Head (KP).~~

- g) TDP/PIA should ensure that researchers do not make any new expenses/ commitments after the project completion date. Any unsettled expenses after the account close will be incurred by the Project Leader.

~~PYB PTJ should record asset/inventory for each completed project handed by the researcher. Refer Asset Management Procedure, known as **Procedure For Asset Management (UPM/SOK/KEW-AST/P012)**.~~

- h) PYB PTJ should record all assets/inventories handed by the researcher after a project is completed. Please refer to Asset Management Procedure (UPM/SOK/KEW-AST/P012).

3.2 Management of External Grant

3.2.1 Application of External Grant


~~TDP/PIA needs to ensure any collaboration involving industries needs to sign the Non-Disclosure Agreement (NDA) before further discussions are carried out.~~

- a) TDP/PIA should ensure a Non-Disclosure Agreement (NDA) needs to be signed if there is a disclosure of non-public information, confidential and proprietary in nature within the discussion between the researcher and other parties. The draft of the NDA needs to be sent to PYB RMC for review and sign process.

~~TDP/PIA should ensure research proposal paper is prepared according to sponsor's format. For other grants that do not have a specific sponsor format, copy of the External Grant Application Form, known as **External Grant Application Form (PU/PY/BR02/GERANLUAR)** together with supporting documents has to be sent to PYBRMC/PRMC. The proposal paper must be sent to TPGP.~~

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- b) TDP/PIA must ensure the research proposal is prepared according to the sponsor's format. In the case that there is no specific sponsor format from the sponsor, a copy of the External Grant Application Form (PU/PY/BRO2/GERANLUAR) together with all supporting documents need to send to PYB RMC.

~~Application results from sponsors will be notified by PRMC to researcher. Copy will be sent to TDP/PIA (If relevant).~~

- c) The application results from the sponsor will be notified to TDP/PIA by the researcher or RMC. A copy of the result will be sent to TDP/PIA (If applicable)

~~Grant acceptance document / project agreement will be sent directly to PRMC by researcher.~~

~~For grants accepted directly from sponsor (not through RMC), researcher will inform approval to TDP/PIA and PRMC. Relevant documents will be presented together for information and record;~~

- ~~(i) Letter of offer from sponsor; and
(ii) Agreement Document;
(iii) Research proposal paper; and
(iv) Form for opening of trust fund (If relevant).~~


- d) For the grants received directly from the sponsor (not through RMC), the researcher will inform the approval to TDP/PIA and PRMC. The following documents will be submitted for record purposes;

- (i) Letter of Offer and/or agreement and/or any legally binding document from sponsor/industry; and
(ii) Approved research proposal; and
(iii) Application Letter of Trust Account (SOK/KEW/BR042/AKN) (if applicable).

~~RMC will only manage project account opening for Nanomite Grant, Translational Research, FRGS, PRGS, TRGS, LRGs, NRGs, eDana MOSTI and PPRN only.~~

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- e) RMC will only manage the opening of a project account for KPT Research Grant (FRGS, TRGS, PRGS, LRGS, Translational Research, MyLAB, MyPAIR, etc), eDana MOSTI, PPRN and MRUN.

~~For external grant other than those stated in item 5.2.1 (f), PYB PTJ should obtain confirmation signature from PRMC for Letter of Application of Trust Fund Account Opening, known as **Application Letter To Open A Trust Account (SOK/KEW/BR042/AKN)** and manage the opening of trust fund with PTJ's Bursar. Refer Guideline for Application of Trust Fund Opening, known as **Application To Open A Trust Account Guidelines (SOK/KEW/GP024/AKN)**.~~

- f) For other external grants than those stated in item 3.2.1 (e), it is the responsibility of PYB PTJ to obtain a signature of endorsement from PRMC for the Application Letter of Trust Account (SOK/KEW/BR042/AKN) before it can be submitted to Trust Account Financial Section, Bursar Office. Please refer to the Guidelines for Application of Trust Fund Opening (SOK/KEW/GP024/AKN).

~~TDP/PIA should check all grant documents (relevant) obtained from sponsor that is not through RMC whether consultation project or research project. Only research project should be sent to PYB RMC for record.~~


- g) TDP/PIA should check all relevant documents obtained directly from the sponsor and decide whether it is a consultation or research project. If it is only a research project should be sent to PYB RMC for record purposes.
- h) A copy of the project agreement document sent by RMC, must be kept in the project file at PTJ.
- i) TDP/PIA must ensure the researcher obtain ethical clearance for applications involving the use of humans, animals and living organisms, from the University Ethics Committee (through the TNCPI Office) and other relevant authorities.

3.2.2 Implementation of External Grant Project

- a) TDP/PIA must ensure that research is carried out in accordance with the approved proposal or signed research agreement and in adherence to the documents in force by the sponsor.

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- b) TDP/PIA may also refer to the Research Project Financial Management Guide which can be downloaded from the RMC website.

~~TDP/PIA should process the application for the appointment of Research Assistant, Post-Doctoral and Research Fellow. Refer to step 5.4.~~

- c) TDP/PIA should refer to step 3.3 in processing the application of Research Assistant, Post-Doctoral and Research Fellow appointment.

~~The researcher applies to purchase research asset using the Research Asset Purchase Form known as Research Asset Purchase Form (PU/PY/BR45/ASET).~~

- d) The researcher can make an application to purchase research assets using the Research Asset Acquisition Form (PU/PY/BR45/ASET).

~~All expenses using the grant allocation should obtain the approval of TDP/PIA except for the acquisition of assets worth RM20,000 per unit and above OR those not stated in the approved proposal which needs to obtain the approval of PRMC/sponsor.~~

- e) All expenses using the grant allocation should obtain approval from TDP/PIA. The approval of PRMC is required in the acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation/tender) OR assets that are not stated in the approved proposal.

~~TDP/PIA should endorse and submit sponsor format form or Grant Management form known as **Grant Management Form (PU/PY/BR39/URUSGERAN)** to PRMC for applications with the following project needs:~~


- ~~(i) Change of Programme Head / Project Leader;
(ii) Extension of project term; and
(iii) Change in distribution of allocation.~~

- f) TDP/PIA should review and endorse the following request submitted by the researcher through Grant Management Form (PU/PY/BR39/URUSGERAN) and forward it for PRMC approval;

- (i) change of Programme Head / Project Leader;
(ii) extension of project duration; and

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(iii) virement of allocation.

~~PTJ Head is responsible to ensure that Project Leader obtains the approval of sponsor in the event he/she is unable to continue as head (ill/retiring/end of contract). Early notification regarding the change of Project Head should be forwarded to PRMC for further action.~~

- g) The PTJ Head is responsible for ensuring Project Leader completes the **Grant Management Form (PU/PY/BR39/URUSGERAN)** if they are no longer able to lead the project (ill / retired / end of contract / passed away). Early notification regarding the change of Project Leader should be forwarded immediately to PRMC for further action.

~~TDP/PIA should ensure that the Calibration Committee (JKT) monitors equipment that needs to be calibrated according to an existing schedule. Refer to the Procedure for Calibration/ Equipment Verification, known as **Procedure For Equipment Calibration/ Verification (UPM/SOK/CAL/P001)**.~~


- (h) TDP/PIA should ensure the Calibration Committee (JKT) monitor the equipment to be calibrated according to the set schedule. Please refer to the **Procedure For Equipment Calibration/ Verification (UPM/SOK/CAL/P001)**.

~~PTJ Head should ensure that laboratory is maintained according to existing regulations. Refer to **Lab/Workshop Management and Safety Guidelines (SOK/LAB/GP01/PKM)**.~~

- (i) The PTJ Head should ensure that the laboratory is managed and maintained according to existing regulations. Please refer to Lab/Workshop Management and Safety Guidelines (SOK/LAB/GP01/PKM).
- (j) ~~TDP/PIA should ensure that the Research Activity Record Book is established and updated for researcher and research team to record their research activities. Refer to **Step 5.3 Research Activity Record book**.~~

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3.2.3 Monitoring of External Grant Project

~~TDP/PIA will ensure that project expenditure is based on the following guidelines (subject to project requirements);~~

- ~~(iv) 20% of total allocation received within 6 months after the project start date;~~
- ~~(v) 60% of total allocation received within a year of project implementation; and~~
- ~~(vi) 100% of total allocation at project completion.~~

- (a) TDP/PIA needs to ensure the project expenses is according to the approved proposal and/or as stated in signed agreement documents.

~~For projects that have achieved one year of implementation but expenditure is less than 30% of total allocation received will be reported to the University Research Committee Meeting (JKPU). The project will be closed if it does not show an increase in expenditure within the next 3 meetings without any justifications approved by RMC.~~

~~TDP/PIA must ensure that progress report and final report is submitted according to schedule / sponsor order that has been agreed in the agreement contract/sponsor guidelines.~~


- (b) TDP/PIA must ensure that the progress report and the final report (in sponsor's format) is submitted according to schedule OR as agreed in the agreement OR in accordance with sponsor/industry guidelines OR whenever requested by the sponsor/industry. TDP/PIA must ensure that a copy of the progress reports and the final report is submitted to PYB RMC for record purposes (with permission from the sponsor/industry).

~~(a) In the event of a research finding / output, the Research Output Report Form known as Research Output Report Form (PU/PY/BR15/OUTPUT) may be submitted at any time.~~

- (c) Research Output Report Form (PU/PY/BR15/OUTPUT) can be submitted at any time if there are research findings/outputs that need to be reported.

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~~Notice of account closure is subject to the order of sponsor/contract agreement. However, PRMC will/ has the right to close an account that does not show any transaction in 2 years.~~

- (b) Notice of account closure is subject to the order of sponsor/contract agreement. However, RMC will / has the right to close any account as follows;
- (i) For 5xxxxx account, the project account will be closed within 6 months after the original expiry date OR 3 months of the extended expiry date OR if the balance is less than RM 100 OR if there is no movement of expenditure within 1 year.
 - (ii) For trust account 63xxxx, account closure will be made after sufficient life period specified in the Trust Deed OR inactive within 12 months according to the Trust Account Management Guidelines (SOK/KEW/GP024/AKN). Any unpaid expenses after the project account is closed is the responsibility of the Project Leader. . Any unsettled expenses after the account close will be incurred by the Project Leader.

~~PYB PTJ should record asset/inventory of each project that has ended to be submitted by the researcher. Refer to the Asset Management Procedure known as **Procedure For Asset Management (UPM/SOK/KEW-AST/P012)**.~~

- (c) PYB PTJ should record all assets/inventories handed by the researcher after a project is completed. Please refer to Asset Management Procedure (UPM/SOK/KEW- AST/P012).


~~Research Activity Record Book~~

~~TDP/PIA should ensure that the Research Activity Record Book is established and updated for researcher and research team to record their research according to the following format:~~

- (g) ~~The format of the record book is free but the cover page should contain name of researcher, name of supervisor (if any), record start date and title of project.~~

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~~(h) Record is in the form of a book or should be compiled.~~

~~(i) The contents of the Research Activity Record Book should be verified by project leader / supervisor or programme leader in accordance to each experiment / activity conducted.~~

~~(j) The Research Activity Record Book should be sent together with progress report for endorsement by TDP/PIA.~~

~~(k) Throughout implementation period, all researchers involved are responsible to monitor and store safely.~~

~~(l) RMC will conduct random review towards the monitoring of the implementation of the Research Activity Record Book by PTJ.~~


3.3 New Application / Renewal of Contract for Research Assistant, Post-Doctoral and Research Fellow

3.3.1 Application (for all types of grant)

- (a) PYB PTJ will check and complete Research Assistant, Post-Doctoral and Research Fellow applications through application forms submitted by researchers.
- (b) For appointment of Research Assistant (RA), the offer letter will be issued by the Head of PTJ. PYB PTJ must send the following documents to the Administration Division, Office of TNCPI for record purposes:
- (i) copy of Research Assistant Application Form, known as **Research Assistant Application Form (PU/PY/BR44/PERSONELR&D)**;
 - (ii) copy of offer letter; and
 - (iii) copy of reporting for duty document.
- (c) For Post-Doctoral and Research Fellow appointments, the application forms

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must be submitted to the Head of Administration, Office of TNCPI to be endorsed by the Selection Committee (Research) and approved by the Vice Chancellor. Offer Letter is issued by the Registrar's Office.

3.3.2 Performance Evaluation

TDP/PIA must **monitor** Project Head evaluating the performance of Research Assistants, Post-Doctorates, Research Fellows, and Consulting Fellows using the the Reseacher Performance Assessment Form known as **Researcher Performance Evaluation Form (PU/PY/BR06/NILAI PRESTASI)** for contract renewal.

3.3.3 Certification and Approval

Affirmation and approval will be given by the Research Selection Committee. The guidelines can be obtained from <http://www.tncpi.upm.edu.my/failedokumen>.

3.4 Protection of Research Result

3.4.1 PTJ should encourage researchers to protect their research findings.

3.4.2 PYB PTJ should record a copy of filing certificate and certificate of registration for protection of research findings received from PSP.

3.5 Dissemination of Research Result


3.5.1 Seminar/Conference/Workshop/Overseas Visit (SKBL)

~~Head must support application to attend Seminar/ Conference/ Workshop/ Overseas Visit in the **Attending Seminar/Conference/Workshop/Overseas Visit Form (PU/PY/BR30/SKBL)** received from applicant.~~

(a) The PTJ Head must support application to attend Seminar/Conference/Workshop/Overseas Visit in the **Attending Seminar/Conference/Workshop/Overseas Visit Form (PU/PY/BR30/SKBL)** received from the applicant.

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~~A copy of the JKSKBL will be sent to the PTJ Head. The PTJ Head should approve the Overseas Travel Application form, known as **Overseas Travel Application Form (SOK/KEW/BR035/BYR)** to obtain the consent of the Controlling Officer. Refer to the Guidelines for Application to go Overseas for Public Higher Learning Institution, known as **Public Institution of Higher Learning Overseas Travel Application Guidelines (IPTA)** in the form.~~

- (a) A copy of the JKSKBL approval will be sent to the PTJ Head. The PTJ Head should approve the Overseas Travel Application Form (SOK/KEW/BR035/BYR) before obtaining the consent of the Controlling Officer. Please refer to the guidelines of the Public Institution of Higher Learning Overseas Travel Application Guidelines (IPTA).

~~TDP/PIA should monitor submission of Overseas Travel Report Form, known as **Overseas Travel Report Form (PU/PY/BR31/LAPORANSKBL)** by researcher who has been abroad and submitted one (1) copy of the report **(PU/PY/BR31/LAPORANSKBL)** to PYBRMC within one month of the completion of event attended. Researcher who fails to submit this report within the stipulated time, **will not be considered** for any overseas seminar **at least for the next one year** until a complete report is submitted.~~


- (b) TDP/PIA should monitor the submission of the Overseas Travel Report Form (PU/PY/BR31/LAPORANSKBL) by a researcher to PYBRMC within one month after the event date. Those who fail to submit this report within the stipulated time, will not be considered for any overseas travelling for at least a year until a complete report is submitted.

~~PYB PTJ has to plan report presentation session for researcher who has attended the SKBL according to PTJ's timeline.~~

- (c) PYB PTJ must plan a report presentation session for the researcher who has attended SKBL in accordance with the PTJ schedule.

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3.5.2 Pertanika Journal Publication

TDP/PIA should encourage researchers to disseminate research findings through publications such as the Journal Science & Technology/Journal Social Sciences and Humanities/Journal Tropical Agriculture Sciences (Jurnal Pertanika), please refer to publication code of ethics or refer directly to UPM Publisher.

3.5.3 Exhibition

- (a) TDP/PIA should encourage researchers to promote their research through competition exhibition or tradeshow advertised by PSP.
- (b) TDP/PIA will assist in obtaining information regarding research findings from researchers and providing logistics facilities to researchers for the exhibition attended.
- (c) PYB PTJ will assist researchers in preparing exhibition materials (posters/brochures/directory/product samples) in the format provided by PSP.

3.5.4 Media Release


- (a) TDP/PIA should encourage researchers and identify appropriate research findings to be released to the media.
- (b) PYB PTJ will assist PPSP to obtain information on research findings to be disseminated to the media.
- (c) PYB PTJ will assist in providing facilities / location for press conference / filming of research findings.

3.5.5 Commercialisation of Research Output


- (a) TDP/PIA should encourage researchers and assist PSP to obtain research findings from potential researchers for commercialization. PYB PTJ should record a copy of the agreement / related document received from PSP in

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relation to commercialization.


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1.0 TUJUAN

Garis panduan ini bertujuan menerangkan kepada pegawai yang bertanggungjawab di Pejabat TNCPI, RMC dan PSP tentang kaedah permohonan geran, pengurusan dan pelaksanaan projek penyelidikan, pemantauan, perlindungan harta intelek, penyebaran dan pengkomersilan hasil penyelidikan.

2.0 TERMINOLOGI DAN SINGKATAN

Geran UPM	:	Geran Universiti Putra Malaysia (kecuali Geran GIPP dan KTGS)
Geran Luar	:	Geran penyelidikan daripada agensi kerajaan, swasta dan antarabangsa Selain Geran UPM Geran penyelidikan selain Geran UPM
Geran GIPP	:	Geran Insentif Penyelidikan dalam Pengajaran dan Pembelajaran
KTGS	:	<i>Knowledge Transfer Grant Scheme</i>
Penaja Geran	:	Terdiri daripada pihak awam dan swasta Terdiri daripada agensi kerajaan, swasta dan antarabangsa
JKE	:	Jawatankuasa Etika berkaitan penyelidikan
JKP	:	Jawatankuasa Penilai
JKPU	:	Jawatankuasa Penyelidikan Universiti
JKSKBL	:	Jawatankuasa Seminar/Konferensi/Bengkel/Lawatan ke Luar Negara
JPHI	:	Jawatankuasa Penilaian Harta Intelekt
KM Portal	:	<i>Knowledge Management Portal</i>
KP	:	Ketua Projek
PIA	:	Pengarah Institut / Akademi
PPSP	:	Pengarah PSP
PSP	:	<i>Putra Science Park</i>
PTJ	:	Pusat Tanggungjawab yang terlibat dalam aktiviti penyelidikan
PYB	:	Pegawai Yang Bertanggungjawab
PRMC	:	Pengarah RMC
R&P	:	Reka bentuk dan Pembangunan
RMC	:	<i>Research Management Centre</i> (Pusat Pengurusan Penyelidikan)
TDP	:	Timbalan Dekan yang bertanggungjawab di dalam portfolio penyelidikan dan inovasi di PTJ
TNCPI	:	Timbalan Naib Canselor (Penyelidikan dan Inovasi)
TPGP	:	Timbalan Pengarah, Bahagian Geran, RMC

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3.0 ~~ARAHAN~~ PANDUAN

3.1 Rekabentuk Pembangunan & Pelaksanaan Penyelidikan

3.1.1 TNCPI, PRMC dan PPSP perlu merancang pelaksanaan R&P penyelidikan berpandukan pelan strategi, objektif kualiti atau *Key Performance Indicator*(KPI) Universiti / Universiti Penyelidikan (RU), polisi penyelidikan, etika penyelidikan berkaitan serta keperluan penaja geran.

3.2 Penjanaan Geran

3.2.1 PRMC perlu mengemaskini senarai penaja geran sedia ada dan mengenalpasti penaja geran yang baru bagi memperolehi maklumat terkini berkenaan dengan penajaan penyelidikan yang ditawarkan.

3.2.2 RMC akan mengaturkan perbincangan dengan pihak penaja (khususnya pihak swasta) untuk mengenalpasti *mutual interest* bagi mendapatkan penajaan penyelidikan.

3.2.3 PYB RMC akan membuat hebahan kepada PTJ berdasarkan maklumat penajaan penyelidikan yang diperolehi daripada penaja geran.


3.3 Pengurusan Geran UPM

3.3.1 Permohonan Geran UPM

- (a) PYB RMC hendaklah memastikan kertas cadangan penyelidikan yang dihantar adalah mengikut format Borang Geran UPM yang boleh dimuat turun di laman web <http://www.rmc.upm.edu.my/muatturun>.
- (b) PYB RMC perlu menyemak kertas cadangan penyelidikan berdasarkan senarai semak yang dikepilkan di muka hadapan kertas cadangan penyelidikan.
- (c) PYB RMC perlu memastikan senarai ringkasan permohonan dan borang permohonan yang diterima adalah lengkap.

3.3.2 Penilaian Geran UPM

- (a) TPGP akan mengenal pasti pasukan panel yang sesuai sebagai ahli Jawatankuasa Panel Penilai (JKP). Ahli JKP akan dilantik oleh PRMC.

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- (b) PYB RMC perlu menguruskan penilaian dengan menggunakan **Borang Penilaian Permohonan Geran Penyelidikan (PU/PY/BR04/NILAIGERAN)**.
- (c) PYB RMC perlu mengembalikan kertas cadangan kepada KP melalui TDP/PIA untuk dibuat pindaan berdasarkan ulasan panel JKP.
- (d) PYB RMC perlu memastikan panel JKP menilai semula kertas cadangan yang telah dipinda oleh KP sebelum mendapatkan perakuan PRMC.
- (e) PRMC akan membuat kelulusan terhadap permohonan berdasarkan perakuan panel JKP.

3.3.3 Makluman Keputusan Permohonan

- (a) Keputusan permohonan akan dimaklumkan kepada penyelidik oleh PRMC. Salinan keputusan akan dihantar kepada TDP/PIA.
- (b) PYB RMC akan menguruskan pembukaan akaun projek dengan pihak Bendahari.
- (c) Keputusan penilaian etika penyelidikan yang diterima daripada penyelidik perlu difailkan oleh PYB RMC. PRMC akan menamatkan projek yang gagal mendapatkan kelulusan penilaian etika penyelidikan.

3.3.4 Pelaksanaan Projek Geran UPM

- (a) Pejabat TNCPI akan menerima permohonan pelantikan Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik melalui borang permohonan daripada PTJ.
- (b) PYB RMC akan merekod keputusan penilaian etika yang diterima terus daripada pihak berkuasa berkaitan atau penyelidik. PRMC akan menamatkan projek yang gagal mendapatkan kelulusan penilaian etika penyelidikan.
- (c) PRMC akan menyemak **Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET)** dan meluluskan permohonan pembelian aset penyelidikan bernilai RM20,000 per unit dan ke atas **ATAU** yang tiada dalam proposal asal.
- (d) PRMC akan menyemak **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** dan meluluskan permohonan berikut:
 - (i) pertukaran Ketua Program / Ketua Projek;

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- (ii) perlanjutan tempoh projek;
 - (iii) perubahan agihan peruntukan;
- (e) Ketua PTJ bertanggungjawab untuk memberikan maklumat awal berkaitan pertukaran Ketua Projek kepada PRMC untuk tindakan selanjutnya.
- (f) PYB Pejabat TNCPI perlu memantau laporan peralatan yang perlu dikalibrasi yang disediakan oleh Jawatankuasa Tentukur (JKT). **Rujuk Prosedur Penentuan Peralatan/Verifikasi (UPM/SOK/CAL/P001).**

3.3.5 Pemantauan Projek Geran UPM

- (a) PYB RMC akan memberikan pemakluman tarikh mengikut kitaran kepada PTJ bagi penghantaran laporan untuk memastikan penyelidik menghantar laporan dalam tempoh yang telah ditetapkan.
- (b) PYB RMC akan menyediakan format Ringkasan Pemantauan Projek serta senarai projek yang perlu dipantau kepada PTJ.
- (c) PRMC akan menerima Ringkasan Pemantauan Projek oleh PTJ yang perlu dikemukakan oleh TDP/PIA pada **16 Februari dan 16 Ogos bagi setiap kitaran pemantauan tahun.**
- (d) PRMC akan melaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU) **statistik status** penerimaan laporan Geran UPM.

~~PRMC juga akan melaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU) projek yang telah mencapai enam (6) bulan pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima. Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh tiga (3) kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~
- (e) PYB RMC perlu memastikan laporan akhir penyelidikan diterima selewat-lewatnya tiga (3) bulan selepas tarikh tamat projek.

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~~PRMC akan mengeluarkan Notis Penutupan Akaun selepas pengesahan penerimaan laporan akhir projek. Notis kedua dan pengistiharan penutupan akaun akan dibuat selepas sebulan notis pertama dikeluarkan.~~

~~PYB RMC akan menyediakan laporan projek yang **Tidak Memuaskan** dan pembentangan akan dijalankan di PTJ masing-masing iaitu dalam tempoh 6 bulan selepas tarikh tamat.~~

- (f) PRMC akan mengeluarkan surat pemakluman status akaun dan pencapaian keseluruhan projek. Akaun akan ditutup sepenuhnya.
- (g) Penyelidik tidak dibenarkan untuk membuat sebarang permohonan perbelanjaan / komitmen ~~baharu dalam tempoh 6 bulan terakhir sebelum akaun ditutup sepenuhnya~~ selepas tarikh tamat projek. Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab KP.
- (h) PRMC perlu memperakukan laporan sepertimana berikut;
 - (i) **Borang Laporan Akhir Penyelidikan (PU/PY/BR10/LAP); dan**
 - (ii) **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT).**

~~PRMC akan menerima Ringkasan Pemantauan Projek daripada TDP/PIA selewat-lewatnya pada **16 Februari** dan **16 Ogos** bagi setiap kitaran.~~


- (i) Penyelidik yang gagal mengemukakan Laporan Akhir Projek melebihi tempoh sembilan (9) bulan daripada tarikh tamat projek, PRMC akan **menyenarai hitamkan** penyelidik berkenaan bagi permohonan geran baharu sehingga LAP dikemukakan ke RMC.

~~PYB RMC akan memberi kepada penyelidik 3 kali notis selepas tarikh tamat projek iaitu, notis penutupan akaun, notis kedua bersama pengistiharan penutupan dan notis ketiga adalah surat makluman status akaun dan pencapaian projek.~~

~~PRMC akan melaporkan dalam JKPU laporan penyelidik yang gagal mengemukakan Laporan Akhir Projek melebihi tempoh 3 bulan dan telah~~

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~~diberi 3 kali notis.~~

- (j) PRMC akan melaporkan dalam JKPU laporan penyelidik yang gagal mengemukakan Laporan Akhir Projek melebihi tempoh 3 bulan selepas tarikh tamat.
- ~~(k) PYB RMC perlu memastikan penyelidik tidak membuat sebarang permohonan perbelanjaan / komitmen baharu selepas tarikh tamat projek.~~

3.4 Pengurusan Geran Luar

3.4.1 ~~Proses~~ Permohonan Geran Luar

~~Sekiranya rundingan dengan pihak penaja/industri bersama penyelidik diuruskan oleh RMC, PYB RMC perlu memastikan *Non-Disclosure Agreement*~~


~~(NDA) ditandatangani sebelum perbincangan diadakan.~~

- (a) Sekiranya terdapat perbincangan yang akan dijalankan secara khusus dan terdapat keperluan mendedahkan maklumat yang *non-public, confidential* dan *propriety in nature*, maka perlu menandatangani *Non-Disclosure Agreement* (NDA). PYB RMC akan menguruskan proses semakan NDA dan proses tandatangan di UPM.
- (b) PYB RMC akan menerima dan menyemak salinan kertas cadangan penyelidikan atau **Borang Permohonan Geran Luar (PU/PY/BR02/GERANLUAR)** yang dihantar oleh Penyelidik atau TDP/PIA.
- ~~PRMC akan memaklumkan keputusan permohonan daripada penaja kepada penyelidik bagi permohonan yang melalui PRMC. Salinan akan dihantar kepada TDP/PIA (jika berkaitan).~~
- (c) PYB RMC akan memaklumkan keputusan permohonan daripada penaja kepada penyelidik bagi permohonan yang melalui RMC. Salinan akan dihantar kepada TDP/PIA (jika berkaitan).

~~Bagi geran yang diterima terus daripada penaja (tidak melalui RMC), penyelidik akan memaklumkan kelulusan kepada TDP/PIA dan PRMC.~~

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~~Dokumen berkaitan akan dikemukakan bersama untuk makluman dan rekod;~~
~~(i) — Surat tawaran daripada penaja~~
~~(ii) — Dokumen perjanjian;~~
~~(iii) — Kertas cadangan penyelidikan; dan~~
~~(iv) — Borang pembukaan akaun amanah (jika berkaitan).-~~

- (d) **Bagi geran yang diterima terus daripada penaja** (tidak melalui RMC), penyelidik akan memaklumkan kelulusan kepada TDP/PIA dan PRMC. Dokumen berkaitan akan dikemukakan bersama untuk makluman dan rekod;
- (i) Surat tawaran dan / atau perjanjian / atau apa-apa dokumen yang mengikat (*legally binding*) daripada penaja / industri; dan
 - (ii) Kertas cadangan penyelidikan; dan
 - (iii) Surat Permohonan Pembukaan Akaun Amanah (**SOK/KEW/BR042/AKN**) (jika berkaitan).

~~PYB RMC hanya akan menguruskan pembukaan akaun projek bagi projek Geran Nanomite, Translational Research, FRGS, PRGS, TRGS, LRGS, NRGS, eDana MOSTI dan PPRN sahaja.~~

- (e) PYB RMC perlu menguruskan pembukaan akaun projek geran penyelidikan KPT (FRGS, TRGS, PRGS, LRGS, Penyelidikan Terjemahan, MyLAB, MyPAIR, dll), eDana MOSTI, PPRN dan MRUN sahaja.
- (f) Bagi geran luar jenis selain yang disebutkan pada perkara ~~5.4.1~~ 3.4.1 (e), PYB RMC akan mendapatkan tandatangan pengesahan PRMC bagi **Surat Permohonan Pembukaan Akaun Amanah (SOK/KEW/BR042/AKN)**. PYB RMC perlu merekodkan maklumat projek / akaun amanah berkenaan.
- (g) PYB RMC perlu mendapatkan maklumat nombor akaun amanah yang dibuka dalam tempoh 3 bulan daripada **penyelidik / Seksyen Kewangan Akaun Amanah, Pejabat Bursar** dan mengemaskini maklumat projek dalam sistem PRIMIS.
- (h) PYB RMC akan menguruskan dokumen perjanjian projek mengikut keperluan penaja dan disimpan dalam fail projek. **Satu salinan dokumen perjanjian projek perlu dihantar ke TDP/PIA untuk simpanan fail projek di PTJ.**


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- (i) PYB RMC akan merekod keputusan penilaian etika yang diterima terus daripada pihak berkuasa berkaitan atau penyelidik. PRMC akan menamatkan projek yang gagal mendapatkan kelulusan penilaian etika penyelidikan.

3.4.2 Pelaksanaan Projek Geran Luar

- (a) PYB RMC perlu memastikan penyelidikan dilaksanakan sepertimana kertas cadangan penyelidikan yang telah diluluskan atau dokumen perjanjian penyelidikan yang telah ditandatangani dan dokumen tadbir urus daripada penaja yang berkuatkuasa.
- (b) PYB RMC boleh merujuk Panduan Kewangan Pengurusan Kewangan Projek Penyelidikan yang berkuatkuasa (dokumen ini boleh dimuat turun dari laman web RMC).
- (c) Pejabat TNCPI akan menerima permohonan Pembantu Penyelidik, Pasca Doktorat dan Felo Penyelidik melalui borang permohonan daripada PTJ.
- (d) ~~PRMC~~ PYB RMC akan menyemak **Borang Pembelian Aset Penyelidikan (PU/PY/BR45/ASET)** dan meluluskan permohonan pembelian aset penyelidikan bernilai RM20,000 per unit dan ke atas **ATAU** yang tiada dalam proposal asal berdasarkan kelulusan TPGP / penaja.
- (e) ~~PRMC~~ PYB RMC akan menyemak b o r a n g f o r m a t p e n a j a a t a u **Borang Pengurusan Geran (PU/PY/BR39/URUSGERAN)** untuk mendapatkan kelulusan TPGP / penaja bagi ~~dan meluluskan~~ permohonan berikut:
- (i) pertukaran Ketua Program / Ketua Projek;
 - (ii) perlanjutan tempoh projek; dan
 - (iii) perubahan agihan peruntukan.
- ~~Ketua PTJ bertanggungjawab untuk memberikan maklumat awal berkaitan pertukaran Ketua Projek berdasarkan kelulusan pihak penaja kepada PRMC untuk tindakan selanjutnya.~~
- (f) Ketua PTJ bertanggungjawab untuk memberikan maklumat awal berkaitan pertukaran Ketua Projek berdasarkan kelulusan pihak penaja kepada RMC untuk tindakan selanjutnya. Sekiranya penyelidik masih belum mendapatkan kelulusan penaja untuk pertukaran Ketua Projek, penyelidik / PYB RMC perlu

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[mengemukakan permohonan pertukaran ketua untuk kelulusan penaja.](#)

- (g) PYB Pejabat TNCPI perlu memantau laporan peralatan yang perlu dikalibrasi yang disediakan oleh Jawatankuasa Tentukur (JKT). Rujuk **Prosedur Penentuan Peralatan/ Verifikasi (UPM/SOK/CAL/P001)**.

3.4.3 Pemantauan Projek Geran Luar

~~PYB RMC akan memastikan perbelanjaan projek berdasarkan panduan berikut (tertakluk kepada keperluan projek);~~


- ~~(i) 20% daripada jumlah peruntukan diterima dalam tempoh 6 bulan selepas tarikh mula projek;~~
- ~~(ii) 60% daripada jumlah peruntukan diterima dalam tempoh setahun pelaksanaan projek; dan~~
- ~~(iii) 100% daripada keseluruhan peruntukan apabila tamat projek.~~

- (b) PYB RMC perlu memastikan penyelidik membuat perbelanjaan projek adalah seperti mana proposal yang diluluskan dan / atau dokumen perjanjian yang ditandatangani.

~~PRMC j u g a a k a n melaporkan dalam Mesyuarat Jawatankuasa Penyelidikan Universiti (JKPU) projek yang telah mencapai enam (6) bulan pelaksanaan namun perbelanjaan kurang 30% daripada jumlah peruntukan diterima. Projek akan ditutup sekiranya tidak menunjukkan peningkatan perbelanjaan dalam tempoh tiga (3) kali mesyuarat tanpa justifikasi yang diperakui oleh PRMC.~~

- (c) PYB RMC perlu memantau laporan kemajuan dan laporan akhir ([format borang pihak penaja / industri](#)) mengikut jadual perbatuan/arahan penaja / [industri](#) seperti yang telah dipersetujui dalam perjanjian/garis panduan daripada penaja.

- (d) Sekiranya terdapat output / hasil penyelidikan, **Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT)** ini boleh dihantar pada bila-bila masa.

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(e) Makluman **penutupan akaun** adalah tertakluk kepada arahan penaja/kontrak perjanjian. Namun PRMC akan / berhak menutup akaun ~~yang tidak menunjukkan sebarang transaksi dalam tempoh 2 tahun.~~ seperti mana ketetapan berikut;

- i. Bagi akaun 5xxxxx, akaun projek akan ditutup dalam tempoh 6 bulan selepas tarikh tamat asal ATAU 3 bulan tarikh tamat lanjutan ATAU sekiranya baki kurang RM 100 ATAU sekiranya tiada pergerakan perbelanjaan dalam tempoh 1 tahun.
- ii. Bagi akaun amanah 63xxxx, penutupan akaun akan dibuat setelah mencukupi tempoh hayat yang ditetapkan dalam Surat Ikatan Amanah ATAU tidak aktif dalam tempoh 12 bulan mengikut Garis Panduan Pengurusan Akaun Amanah (SOK/KEW/GP024/AKN). Sebarang tanggungan perbelanjaan yang tidak dijelaskan selepas akaun projek ditutup adalah tanggungjawab ~~KP~~ Ketua Projek.

~~PYB RMC akan menjalankan semakan secara rawak terhadap pelaksanaan pemantauan Buku Rekod Aktiviti Penyelidikan oleh PTJ.~~

3.5 Permohonan Baharu / Pembaharuan Perkhidmatan Kontrak Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik

3.5.1 PYB Pejabat TNCPI akan menyemakan permohonan Pembantu Penyelidik, Pasca Doktor dan Felo Penyelidik untuk mendapatkan perakuan Jawatankuasa Pemilih (Penyelidikan) dan kelulusan Naib Canselor.

3.5.2 PYB Pejabat Naib Canselor akan memberi salinan kelulusan oleh Naib Canselor kepada Pejabat Pendaftar untuk menyediakan surattawaran.

3.6 Perlindungan Hasil Penyelidikan


3.6.1 Permohonan dan Pemfailan Harta Intelek

(a) Dalam Negara

- (i) PYB PSP akan menerima dan memproses permohonan

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perlindungan harta intelek daripada penyelidik melalui sistem online www.upmip.upm.edu.my untuk proses penilaian. Berikut ialah borang permohonan yang perlu diproses:

- Borang Permohonan Paten;
- Borang Permohonan Hak Cipta;
- Borang Permohonan Cap Dagangan;
- Borang Permohonan Reka Bentuk Perindustrian; dan
- Borang Permohonan Varieti Tumbuhan Baru.


- (ii) PYB PSP akan mengeluarkan surat jemputan ke sesi pembentangan harta intelek kepada penyelidik.
- (iii) TNCPI akan melantik ahli JPHI setiap dua tahun sekali untuk membuat penilaian permohonan melalui sesi pembentangan.
- (iv) PYB PSP akan mengeluarkan surat keputusan penilaian kepada penyelidik dan menguruskan penderafan untuk pemfailan selepas sesi pembentangan.
- (v) PYB PSP akan menerima Sijil Pemfailan atau Akuan Berkanun dan menghantar sesalinan kepada penyelidik dan TDP/PIA.

(b) Luar Negara

- (i) PYB PSP akan mengeluarkan surat jemputan kepada penyelidik untuk memohon perlindungan harta intelek ke luar negara. JPHI akan menilai permohonan berdasarkan hasil kajian potensi pasaran.
- (ii) Permohonan yang berjaya akan dihantar kepada ejen untuk proses pemfailan. Keputusan penilaian akan dimaklumkan kepada penyelidik.

3.6.2 Pemeriksaan & Pendaftaran Harta Intelekt

- (a) Laporan pemeriksaan daripada perbadanan harta intelek akan dihantar kepada penyelidik untuk penyediaan maklum balas, penambahbaikan atau penyimpanan sampel (jika berkaitan).

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- (b) Sekiranya pihak perbadanan harta intelek memperakui pendaftaran harta intelek (*granted*), sesalinan sijil pendaftaran akan dihantar kepada penyelidik dan TDP/PIA.

3.6.3 Rekod & Pemantauan

- (a) PYB PSP akan merekodkan maklumat pemfailan atau akaun berkanun ke pangkalan data UPMIP.
- (b) PYB PSP akan memantau dan memproses pembaharuan sijil pendaftaran.

3.7 Penyebaran Hasil Penyelidikan

3.7.1 Seminar/Konferensi/Bengkel/Lawatan Luar Negara (SKBL)


- (a) PYB RMC akan menyemak **Borang Menghadiri Seminar/ Konferensi/Bengkel/Lawatan ke Luar Negara (PU/PY/BR30/SKBL)** untuk menghadiri SKBL.
- (b) Mesyuarat JKSKBL akan diadakan mengikut jadual.
- (c) Keputusan JKSKBL akan **dihantar** kepada penyelidik dan salinan kepada Ketua PTJ.
- (d) PYB RMC perlu memastikan penghantaran **Borang Laporan Perjalanan Ke Luar Negara (PU/PY/BR31/LAPORANSKBL)** oleh TDP/PIA. Penyelidik yang gagal mengemukakan laporan dalam tempoh yang ditetapkan, **tidak akan dipertimbangkan** bagi menghadiri seminar ke luar Negara **sekurang-kurangnya setahun** sehingga laporan lengkap mengenainya dikemukakan.

3.7.2 Pengurusan Promosi

- (a) PYB PSP akan melaksanakan promosi melalui hebahan media, penyertaan pameran pertandingan, *tradeshow* dan lain-lain.
- (b) PYB PSP akan menguruskan pengurusan aktiviti seperti penyediaan

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bahan pameran, tempahan tapak dan booth pameran dan logistik dengan bantuan PTJ terlibat.

- (c) Mesyuarat penyelarasan persediaan pameran dengan penyelidik akan diadakan (jika perlu).
- (d) PYB PSP akan melaksanakan promosi dan merekod maklumat industri/pelawat yang berminat menjalankan kerjasama dengan UPM menggunakan **Borang Suai Padanan Teknologi (PU/PY/BR23/SPT)**.


3.7.3 Suaipadanan Perniagaan/Teknologi

- (a) PYB PSP akan menyemak **Borang Suai Padanan Teknologi (PU/PY/BR23/SPT)** atau Surat Permohonan dari Syarikat daripada penyelidik yang ingin menjalankan pengkomersilan.
- (b) PYB PSP akan mengaturkan sesi pembentangan bagi menentukan jenis kerjasama (samaada pengkomersilan/penyelidikan kontrak/perundingan/lain-lain) dengan pihak industri dan majukan kepada pihak yang berkaitan.
- (c) PYB akan merekodkan status perkembangan suaipadanan teknologi di dalam pangkalan data perhubungan industri.

3.8 Pengkomersilan Hasil Penyelidikan

3.8.1 PYB PSP akan menguruskan proses pengkomersilan hasil dari suai padanan teknologi untuk pengkomersilan seperti berikut.

- (a) PSP akan bekerjasama dengan penyelidik untuk menentukan jenis kerjasama dengan industri, agihan pendapatan dan pelan pemindahan teknologi.
- (b) Sekiranya perbincangan berjaya mencapai keputusan untuk pengkomersilan, pihak PSP akan berhubung dengan industri untuk melaksanakan rundingan perniagaan.

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(c) PYB PSP akan mendapatkan persetujuan sewajarnya daripada pihak UPM.

3.8.2 PYB PSP akan menyediakan dokumen perjanjian pengkomersilan untuk ditandatangani oleh pihak UPM dan pihak industri. Sesalinan perjanjian pengkomersilan yang diterima perlu dihantar ke penyelidik dan TDP/PIA.

3.8.3 PYB PSP akan membuat pemantauan kewangan dan pematuhan terma perjanjian ke atas projek pengkomersilan.

1.0 PURPOSE

~~This~~ ~~These~~ guidelines explains ~~about~~ grant application methods, research projects management and implementation, monitoring, intellectual property protection, dissemination and commercialisation of research findings.

2.0 TERMINOLOGY AND ACRONYM

UPM Grant	:	Universiti Putra Malaysia Grant (except GIPP Grant and KTGS)
External Grant	:	Research grants from government, private and international agencies Other than UPM Grant Research grants other than UPM Grants
GIPP Grant	:	Research Incentive Grant for Teaching and Learning
KTGS	:	Knowledge Transfer Grant Scheme
Grant Sponsor	:	Comprises of public and private sectors Comprises of public, private and international agencies
JKE	:	Ethics Committee on research Research Ethics Committee
JKP	:	Evaluation Committee
JKPU	:	University Research Committee
JKSKBL	:	Seminar / Conference / Workshop / Visit Abroad Committee
JPHI	:	Intellectual Property Evaluation Committee
KM Portal	:	Knowledge Management Portal
KP	:	Project Leader
PIA	:	Institute / Academy Director
PPSP	:	PSP Director
PSP	:	Putra Science Park

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PTJ	:	Responsibility Center involved in research activities
PYB	:	Officer in charge
PRMC	:	RMC Director
R&P	:	Design and Development
RMC	:	Research Management Centre
TDP	:	Deputy Dean who is responsible for the research and innovation portfolio at PTJ
TNCPI	:	Deputy Vice Chancellor (Research and Innovation)
TPGP	:	Deputy Director, Grant Division, RMC

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3.0 ~~INSTRUCTION~~/ GUIDE

3.1 Design Development & Research Implementation

3.1.1 TNCPI, PRMC and PPSP need to plan the implementation of R&P research based on University / Research University (RU) strategy planning, quality objective or Key Performance Indicator (KPI), research policy, relevant research ethics and grant sponsor requirements.

3.2 Grant Generation

3.2.1 PRMC needs to update the list of existing grant sponsors and identify new grant sponsors in order to obtain up to date information regarding research sponsorships offered.

3.2.2 RMC will arrange discussions with sponsors (especially the private sector) to identify mutual interest for obtaining research sponsorship.

3.2.3 PYB RMC will announce to PTJ based on research sponsorship information obtained from grant sponsor.


3.3 UPM Grant Management

3.3.1 UPM Grant Application

(a) RMC PYB must ensure that the research proposal submitted is in accordance with the format of the UPM Grant Form which can be downloaded at <http://www.rmc.upm.edu.my/muatturun>.

(b) PYB RMC needs to review the research proposal based on the checklist attached on the front page of the research proposal.

(c) PYB RMC must ensure that the summary list of applications and the application form are complete.

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3.3.2 UPM Grant Evaluation

- (a) TPGP will identify the appropriate panel ~~team as members of~~ to form the Evaluation Panel Committee (~~DOSH~~) (JKP). JKP members will be formally appointed by PRMC.
- (b) PYB RMC should manage the evaluation using the **Research Grant Application Evaluation Form (PU/PY/BR04/NILAIGERAN)**.
- (c) PYB RMC will need to return the proposal paper to KP through TDP / PIA for amendment based on the JKP panel's review.
- (d) RMC PYB must ensure that the JKP panel re-evaluates the proposal paper which was revised by the KP before obtaining the PRMC's approval.
- (e) PRMC will approve the application based on the JKP panel's decision.

3.3.3 Notification of Application Result


- (a) The results of the application will be communicated to the researchers by PRMC. A copy of the ~~decision~~ result will be sent to the TDP / PIA.
- (b) PYB RMC will manage the opening of the project account with the Bursar.
- (c) The results of the research ethics assessment received from the researcher must be filed by the PYB RMC. PRMC will terminate projects that fail to obtain research ethics assessment approval.

3.3.4 Project Implementation

- (a) The TNCPI Office will receive applications for ~~the appointment of a~~ Research Assistant, Post- Doctoral and Research Fellow appointment ~~via the application form~~ from PTJ.
- (b) PYB RMC will record ethical assessment results received directly from the relevant authorities or researchers. PRMC will terminate projects that fail to obtain research ethics assessment approval.

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~~PRMC will review the **Research Asset Acquisition Form (PU/PY/BR45/ASET)** and approve the application for the purchase of research assets of RM20,000 per unit and above OR those not in the original proposal.~~

- (c) PRMC will review and approve the acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation/tender) OR assets that are not stated in the approved proposal.
- (d) PRMC will review **Grant Management Form (PU/PY/BR39/URUSGERAN)** and approve the following applications:
- (i) change of ~~Head of Program Head~~ / Project Leader;
 - (ii) extension of project duration;
 - (iii) ~~changes in the allocation of provision~~ virement of allocation.
- (e) The ~~Head of~~ PTJ Head is responsible for providing preliminary information regarding the change of Project Leader to PRMC for further action.
- (f) PYB of the TNCPI Office should monitor reports of equipment that needs calibration provided by the Calibration Committee (JKT). **Refer to Procedure For Equipment Calibration/Verification (UPM/SOK/CAL/P001).**


3.3.5 Project Monitoring

~~PYB-RMC will provide PTJ date of cycle notice for delivery of reports to ensure that researchers submit reports within the stipulated period.~~

- (a) PYB RMC will announce monitoring cycle for reports delivery to ensure that PTJ and researchers submit reports within the stipulated period.

~~PYB-RMC will provide the Project Monitoring Summary format as well as a list of projects to monitor for PTJ.~~

- (b) PYB RMC will provide the template of the Project Monitoring Summary as well as the list of projects to be monitored by PTJ.

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~~PRMC will receive the Project Monitoring Summary by PTJ which will need to be submitted by TDP / PIA on February 16 and August 16 for each year of monitoring cycle.~~

- (c) PRMC will receive the Project Monitoring Summary submitted by TDP / PIA on **February 16 and August 16 for each year of monitoring cycle.**
- (d) PRMC will report the UPM Grants **monitoring** report ~~receipt statistics~~ at the University Research Committee (JKPU) meeting.

~~PRMC will also report at the University Research Committee (JKPU) meeting on projects that has reached six (6) months of implementation but is spending less than 30% of the total allocation. The project will be closed if it does not show an increase in expenditure within three (3) meetings without proper justifications that is approved by the PRMC.~~


- (e) PYB RMC must ensure that the final research report is received at least three (3) months after the project end date.

~~PRMC will issue an Account Closing Notice upon confirmation of acceptance of the final report of the project. The second notice and declaration of account closure will be made after one month's notice from the issuance of the first notice.~~

~~PYB RMC will prepare reports of **Unsatisfactory** projects and presentations will be held at the respective PTJ within 6 months after the end date.~~

- (f) PRMC will issue a letter ~~announcing the status of~~ the account **closure** and the overall achievement of the project. The account will be completely closed.

~~The researchers are not allowed to commit to any new expenses / commitment within the last 6 months before the account is fully closed. Any unspecified expenses incurred after the project account is closed is KP's responsibility.~~

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(g) The researchers are not allowed to commit to any new expenses / commitment after end date. Any unsettled expenses after the account close will be incurred by the Project Leader.

(h) PRMC needs to certify the following reports;

- (i) Research Final Report Form (PU/PY/BR10/LAP); and
- (ii) Research Output Report Form (PU/PY/BR15/OUTPUT).

~~PRMC will receive the Project Monitoring Summary from TDP / PIA latest by February 16 and August 16 for each cycle.~~

(i) For researchers who fail to submit Project Final Report in more than nine (9) months from project end date, PRMC will **blacklist** the relevant researchers for new grant application until LAP is submitted to RMC.

~~PYB-RMC will provide the researcher with 3 notices after the project end date which are, the account closing notice, the second notice with the closing declaration and the third notice is the letter to inform of account status and project achievement.~~

~~PRMC will report to JKPU the report of researchers who failed to submit Project Final Report for more than 3 months while being given 3 times notice.~~

(j) PRMC will report to JKPU the non-compliance report of Project Final Report submission for more than 3 months after the end date.

~~(k) PYB-RMC must ensure that researchers do not make any new request of expenditures / commitments after the project deadline.~~


3.4 External Grant Management

3.4.1 External Grant Application ~~Process~~

~~If negotiations with the sponsor / industry with the researcher are managed by the RMC, the PYB-RMC must ensure that the Non-Disclosure Agreement (NDA) is signed before the discussions are held.~~

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(a) The Non-Disclosure Agreement (NDA) needs to be signed if there is a disclosure of non-public information, confidential and proprietary in nature within the discussion between the researcher and other parties. PYB RMC will manage the Non-Disclosure Agreement (NDA) review and the signing process at UPM.

(b) PYB RMC will receive and review ~~copies of the~~ research proposal ~~papers or~~ **External Grant Application Form (PU/PY/BR02/GERANLUAR)** submitted by the researcher or TDP / PIA.

~~PRMC shall inform the decision of the application from the sponsor to the researcher for the application through PRMC. Copy will be sent to TDP / PIA (if applicable).~~

(c) PYB RMC shall inform the decision of the application received from the sponsor to the researcher. A copy of the result will be sent to TDP / PIA (if applicable).

~~For grants received directly from the sponsor (not through RMC), the researcher will inform the TDP / PIA and PRMC on the approval. Related documents will be submitted together for information and records;~~

~~(i) Letter of offer from sponsor ; or~~

~~(ii) Agreement document;~~

~~(iii) Research proposal paper; and~~

~~(iv) Trust account opening form (if applicable).~~

(d) For the grants received directly from the sponsor (not through RMC), the researcher will inform the approval to TDP/PIA and PRMC. The following documents will be submitted for record purposes;

(i) Letter of Offer and/or agreement and/or any legally binding document from sponsor/industry; and


(ii) Approved research proposal; and

(iii) Application Letter of Trust Account (SOK/KEW/BR042/AKN) (if applicable).

~~PYB RMC will only manage opening of project account for Nanomite, Translational Research, FRGS, PRGS, TRGS, LRGS, NRGs, eDana MOSTI and PPRN grants only.~~

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- (e) PYB RMC should only manage the opening of a project account for KPT Research Grant (FRGS, TRGS, PRGS, LRGs, Translational Research, MyLAB, MyPAIR, etc), eDana MOSTI, PPRN and MRUN.

~~For external grants other than those mentioned in item 5.4.1 (e) 3.4.1 (e), PYB RMC shall obtain PRMC confirmation signature for Application Letter To Open Trust Account (SOK/KEW/BR042/AKN). PYB RMC needs to record the project / trust account information.~~


- (f) For other external grants than those stated in item 3.4.1 (e), it is the responsibility of PYB PTJ to obtain a signature of endorsement from PRMC for the Application Letter of Trust Account (SOK/KEW/BR042/AKN) before it can be submitted to Trust Account Financial Section, Bursar Office. Please refer to the Guidelines for Application of Trust Fund Opening (SOK/KEW/GP024/AKN).
- (g) PYB RMC needs to obtain the trust account number information ~~that is opened~~ within 3 months from the researcher / Trust Account Financial Section, Bursar Office and update project information in the PRIMs system.
- (h) PYB RMC will manage project agreement documents as per the sponsor's requirements and keep them in the project file. A copy of the project agreement document must be sent to TDP/PIA for filing purposes at the PTJ.
- (i) The PYB RMC will record the results of ethical assessments received directly from the relevant authorities or researchers. PRMC will terminate projects that fail to obtain research ethics assessment approval.

3.4.2 External Grant Project Implementation

- (a) PYB RMC must ensure that research is carried out in accordance with the approved proposal or signed research agreement and in adherence to the documents in force by the sponsor.

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- (b) PYB RMC may also refer to the Research Project Financial Management Guide which can be downloaded from the RMC website.
- (c) The Office of TNCPI will receive the application of the Research Assistant, Post-Doctoral and Research Fellow via the application form from PTJ.
- PRMC will assess **Research Asset Acquisition Form (PU/PY/BR45/ASET)** and approve applications for purchase of research assets of RM20,000 per unit and above **OR** those not in the original proposal.
- (d) PRMC will review and approve the acquisition of assets worth RM20,000 per unit and above (which requires the process of quotation/tender) **OR** assets that are not stated in the approved proposal.
- ~~PRMC will review the sponsor format form or **Grant Management Form (PU/PY/BR39/URUSGERAN)** and approve the following application:~~
- ~~(iv) change of Programme Leader / Project Leader;~~
- ~~(v) extension of project duration; and~~
- ~~(vi) changes in the allocation of provisions.~~
- (e) PRMC should review and endorse the following request submitted by the researcher through sponsor format or Grant Management Form (PU/PY/BR39/URUSGERAN);
- (i) change of Programme Head / Project Leader;
 - (ii) extension of project duration; and
 - (iii) virement of allocation.
- (f) The Head of PTJ is responsible for providing preliminary information regarding the change of Project Leader based on the sponsor's approval to PRMC for further action. If the researcher has yet obtained the sponsor's approval for the change of Project Leader, researcher / PYB RMC must submit an application for change of leader for sponsor approval.
- (g) PYB of the Office of TNCPI should monitor reports of equipment that require calibration as provided by the Calibration Committee (JKT). Please refer to **Procedure For Equipment Calibration / Verification (UPM/SOK/CAL/P001)**.

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3.4.3 External Grant Project Monitoring

~~The RMC PYB shall ensure that project expenses are based on the following guidelines (subject to project requirements);~~

- ~~(iv) — 20% of the total allocation received within 6 months after the project start date;~~
- ~~(v) — 60% of the total allocation is received within one year of project implementation; and~~
- ~~(vi) — 100% of the total allocation by the end of the project.~~

~~PRMC will also report at the University Research Committee (JKPU) meeting of projects that have reached six (6) months of implementation but spend **less than 30% of the total allocation received**. The project will be closed if it does not show an increase in expenditure within three (3) meetings without justification that is approved by PRMC.~~


- (a) PYB RMC must ensure that research is carried out in accordance with the approved research proposal or signed research agreement or any other document in force by the sponsor.

~~PYB RMC should monitor progress reports and final reports according to the sponsorship schedule / instructions as agreed in the agreement / guidelines of the sponsor.~~

- (b) PYB RMC should monitor that the progress report and the final report (in sponsor's format) is submitted according to schedule OR as agreed in the agreement OR in accordance with sponsor/industry guidelines OR whenever requested by the sponsor/industry

~~If there are available research output / results, the **Research Output Report Form (PU/PY/BR15/OUTPUT)** can be submitted at any time.~~

- (c) Research Output Report Form (PU/PY/BR15/OUTPUT) can be submitted at any time if there are research findings/outputs that need to be reported

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~~Account closure notification is subject to the sponsor's instruction / contract agreement. However, PRMC will/ has the right to close an account that does not show any transaction in 2 years.~~

- (d) Notice of account closure is subject to the order of sponsor/contract agreement. However, RMC will / has the right to close any account as follows;
- (i) For 5xxxx account, the project account will be closed within 6 months after the original expiry date OR 3 months of the extended expiry date OR if the balance is less than RM 100 OR if there is no movement of expenditure within 1 year.
 - (ii) For trust account 63xxxx, account closure will be made after sufficient life period specified in the Trust Deed OR inactive within 12 months according to the Trust Account Management Guidelines (SOK/KEW/GP024/AKN). Any unpaid expenses after the project account is closed is the responsibility of the Project Leader. . Any unsettled expenses after the account close will be incurred by the Project Leader.

~~PYB-RMC will conduct random checks on implementation of Research Activity Record Book monitoring.~~

3.5 New Application / Renewal of Research Assistant, Post- Doctoral and Research Fellowship Services

- 3.5.1** The PYB of the Office of TNCPI will review the applications of the Research Assistant, Post-Doctoral and Research Fellow for the validation of the Select Committee (Research) and the approval of the Vice Chancellor.
- 3.5.2** The PYB of the Office of Vice Chancellor will provide a copy of approval by Vice Chancellor to the Registrar's Office to prepare letter of offer.

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3.6 Protection of Research Results

3.6.1 Application and Filing of Intellectual Property

(c) Domestic


- (vi) PYB PSP will receive and process intellectual property protection applications from researchers through the online system www.upmip.upm.edu.my for the assessment process. The following are the application forms that need to be processed:
- Patent Application Form;
 - Copyright Application Form;
 - Trademark Application Form;
 - Industrial Design Application Form; and
 - New Plant Variety Application Form.
- (vii) PYB PSP will issue invitation letter for the intellectual property presentation session to the researcher.
- (viii) TNCPI will appoint JPHI members once every two years to evaluate applications through presentation sessions.
- (ix) PYB PSP will issue an assessment result letter to the researcher and manage the drafting for filing after the presentation session.
- (x) PYB PSP will receive the Certificate of Filing or Statutory Declaration and send a copy to the researcher and TDP / PIA.

(d) Abroad

- (iii) PYB PSP will issue invitation letter to researchers to apply for intellectual property protection abroad. JPHI will assess applications based on market potential research.

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- (iv) Successful applications will be sent to the agent for the filing process. The results of the assessment will be communicated to the researcher.

3.6.2 Intellectual Property Inspection & Registration

- (a) Inspection report from an intellectual property corporation shall be sent to the researcher for preparation of feedback, improvement or storage of samples (if applicable).
- (b) If the intellectual property corporation approves the intellectual property registration (granted), a copy of the registration certificate will be sent to the researcher and the TDP / PIA.


3.6.3 Records & Monitoring

- (a) PYB PSP shall record the filing or statutory declaration information in the UPMIP database.
- (b) PYB PSP will monitor and process the renewal of registration certificate.

3.7 Dissemination of Research Results

3.7.1 Seminar / Conference / Workshop / Foreign Visit (SKBL)

- (a) The RMC PYB will review the Seminar / Conference / Workshop / Overseas Visitors Form (PU / PY / BR30 / SKBL) for attending the SKBL.
- (b) The JKSKBL meeting will be held according to the schedule.
- (c) The decision of JKSKBL will be sent to the researcher and a copy to the Head of PTJ.
- (d) PYB RMC must ensure submission of **Overseas Travel Report Form (PU / PY / BR31 / LAPORANSKBL)** by TDP/PIA. Researchers who fail to submit a report within the stipulated period **will not be considered** for attending seminars abroad for **at least one year** until a complete report is submitted.

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3.7.2 Promotion Management

- (e) PYB PSP will carry out promotions through media announcements, participation in exhibitions, tradeshow and others.
- (f) PYB PSP will manage the management of activities such as the preparation of exhibits, site bookings and exhibition booths and logistics with the assistance of involved PTJ.
- (g) Exhibition preparation coordination meeting with researchers will be held (if necessary).
- (h) PYB PSP will conduct the promotion and recording of industry information / visitors interested in working with UPM using **Technology Compatibility Form (PU/PY/BR23/SPT)**.

3.7.3 Business / Technology Compatibility

- (d) PYB PSP will check **Technology Compatibility Form (PU/PY/BR23/SPT)** or Application Letter from the Company from the researcher who intends to undertake commercialisation.
- (e) PYB PSP will arrange presentation sessions to determine the type of cooperation (whether commercial / contract research / consultancy / etc) with industry and forward to relevant parties.
- (f) PYB will record the status of technological compatibility development in the industry relations database.


3.8 Commercialisation of Research Output

3.8.1 PYB PSP will manage the commercialisation process resulting from technology compatibility matching for commercialisation as follows.

- (d) The PSP will work with researchers to determine the type of cooperation with

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industry, revenue distribution and technology transfer plans.

- (e) In the event of successful negotiations for commercialisation, the PSP will contact the industry to conduct business negotiations.
- (f) PYB PSP will obtain the appropriate approval from UPM.

3.8.2 PYB PSP will provide commercial agreement documents for signing by UPM and industry. A copy of the commercial agreement received should be sent to the researcher and the TDP / PIA.

3.8.3 PYB PSP will monitor the financial and compliance of the terms of the agreement on commercialisation projects.



**PERKHIDMATAN UTAMA
PENYELIDIKAN DAN INOVASI
PEJABAT TIMBALAN NAIB CANSOLOR
(PENYELIDIKAN & INOVASI)
Kod Dokumen:PU/PY/BR39/URUSGERAN**

BORANG PENGURUSAN GERAN

MAKLUMAT PROJEK PROJECT DETAILS

Tajuk Projek Project Title:			
Ketua Projek Project Leader:		PTJ Institution :	
No. Telefon (Pejabat) Tel Number (Office):	No. H/P Tel Number (Mobile):	No. Pusat Kos / Kod Projek Vote Number / Project Code :	
Tarikh mula Start Date :		Tarikh tamat End Date:	

PERLANJUTAN TEMPOH PROJEK **PINDAAN AGIHAN PERUNTUKAN**

Tempoh lanjutan diperlukan <i>Extended period</i>	_____bulan / <i>months</i>	Tarikh tempoh lanjutan berakhir <i>Extended due date</i>		Kategori <i>Category</i>	Baki (RM) <i>Balance</i>	Pindah Keluar Vot (RM) <i>Transfer Out</i>	Pindah Masuk Vot (RM) <i>Transfer In</i>	Baki Selepas Pemindahan (RM) <i>Balance After Transfer</i>
Justifikasi/Sebab memohon lanjutan (sila nyatakan) : <i>Justification for extension (please state)</i> <hr/> <hr/> Dokumen-dokumen sokongan <i>Supporting documents</i> <input type="checkbox"/> Laporan Kemajuan Projek terkini <i>Latest Progress Report</i> <input type="checkbox"/> Jadual projek yang telah diubahsuai <i>Revised Project Schedule</i>				V11000				
				V21000				
				V24000				
				V26000				
<input type="checkbox"/> PERTUKARAN KETUA PROJEK Nama Ketua Projek Baru : <hr/> Fakulti / Institut				V28000				
				V29000				
				V35000				
Justifikasi/Sebab memohon pertukaran ketua (sila nyatakan) : <i>Justification for extension (please state)</i> <hr/> <hr/> Dokumen-dokumen sokongan <i>Supporting documents</i> <input type="checkbox"/> Curricular Vitae (CV) Ketua Projek Baru				Jumlah (RM) <i>Total</i>				
				Justifikasi/Sebab memohon pindaan agihan peruntukan (sila nyatakan): <i>Justification for extension (please state):</i>				

PERAKUAN PEMOHON

Saya mengaku bahawa segala maklumat/keperluan pembelian adalah betul dan benar.
I declare all information / purchase requirement was correct and true.

Tarikh *Date*:

.....
Tandatangan Penyelidik dan Cap Rasmi
Researcher's Signature and Official Stamp

PENGESAHAN TIMBALAN DEKAN (PENYELIDIKAN) / PENGARAH INSTITUT *ENDORSEMENT BY DEPUTY DEAN (RESEARCH) / DIRECTOR OF INSTITUTE*

- 1. **Permohonan Perlanjutan Tempoh Projek** Disokong *Supported* Tidak Disokong *Not Supported*
- 2. **Permohonan Pertukaran Ketua Projek** Disokong *Supported* Tidak Disokong *Not Supported*
- 3. **Permohonan Pindaan Agihan Peruntukan** Disokong *Supported* Tidak Disokong *Not Supported*

Ulasan *Comment*:

Tarikh *Date*:

.....
Tandatangan Timbalan Dekan /Pengarah dan Cap Rasmi
Signature of Deputy Dean / Director and Official Stamp


KELULUSAN PENGARAH / TIMBALAN PENGARAH RMC *APPROVAL BY DIRECTOR / DEPUTY DIRECTOR OF RMC*

- 1. **Permohonan Perlanjutan Tempoh Projek** Diluluskan *Approved* Tidak Diluluskan *Not Approved*
- 2. **Permohonan Pertukaran Ketua Projek** Diluluskan *Approved* Tidak Diluluskan *Not Approved*
- 3. **Permohonan Pindaan Agihan Peruntukan** Diluluskan *Approved* Tidak Diluluskan *Not Approved*

Ulasan *Comment*:

Tarikh *Date*:

.....
Tandatangan Pengarah / Timbalan Pengarah RMC dan Cap Rasmi
Signature of Director /Deputy Director of RMC and Official Stamp

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN & INOVASI) Kod Dokumen: PU/PY/BR41/PERSONELR&D
BORANG PERMOHONAN FELO PASCA DOKTORAL APPLICATION FORM OF POST-DOCTORAL FELLOW	

Kategori Permohonan:
Category of Application:

Pelantikan Baharu
New Appointment

Pembaharuan Kontrak
Renewal of Contract

Senarai dokumen berikut perlu disertakan untuk **permohonan pelantikan baharu**: (Sila tandakan (✓) dalam kotak)
*List of documents to be attached for **new appointment application**: (Please tick (✓) in the box)*

- | | | | | | | |
|---|--|--|--|--|--|--|
| <ol style="list-style-type: none"> 1) Surat Iringan daripada Dekan Fakulti/Pengarah Institut
<i>Cover Letter from Dean of Faculty/Director of Institute</i> 2) Satu salinan Kad Pengenalan/Pasport Antarabangsa (untuk bukan warganegara)
<i>One copy of Identification Card/International Passport (for non-Malaysian citizen)</i> 3) Satu keping gambar berukuran pasport
<i>One passport-sized photograph</i> 4) Ringkasan Biodata Diri
<i>Curriculum Vitae (CV)</i> 5) Salinan sijil-sijil kelayakan akademik/profesional yang disahkan
<i>Certified copies of academic/professional qualifications</i> | <table border="1" style="border-collapse: collapse; width: 50px; height: 100px;"> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> </table> | | | | | |
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Senarai dokumen berikut perlu disertakan untuk **permohonan pembaharuan kontrak**: (Sila tandakan (✓) dalam kotak)
*List of documents to be attached for **renewal of contract application**: (Please tick (✓) in the box)*

- | | | | | |
|--|--|--|--|--|
| <ol style="list-style-type: none"> 1) Surat Iringan daripada Dekan Fakulti/Pengarah Institut
<i>Cover Letter from Dean of Faculty/Director of Institute</i> 2) Satu salinan Kad Pengenalan/Pasport Antarabangsa (untuk bukan warganegara)
<i>One copy of Identification Card/International Passport (for non-Malaysian citizen)</i> 3) Satu salinan Borang Penilaian Prestasi Penyelidik (PU/PY/BR06/NilaiPrestasi)
One copy of Researcher Performance Evaluation Form (PU/PY/BR06/NILAIPRESTASI) | <table border="1" style="border-collapse: collapse; width: 50px; height: 100px;"> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> <tr><td style="width: 100%; height: 30px;"></td></tr> </table> | | | |
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| | | | | |
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Syarat lantikan baharu, senarai tugas dan tanggungjawab, syarat perkhidmatan, dan penetapan petunjuk prestasi Felo Pasca Doktorat seperti dalam **Lampiran A**.
*Terms of new appointment, list of duties and responsibilities, conditions of service, and setting key performance indicator (KPI) of Post-Doctoral Fellow as in **Appendix A**.*

Borang permohonan yang telah lengkap diisi hendaklah dihantar ke alamat berikut:
Completed application form should be submitted to the following address:

NO. SEMAKAN : ~~01~~ 02
NO. ISU : 02
TARIKH KUATKUASA : ~~14/12/2018~~ 13/08/2021

Ketua Pentadbiran
Pejabat Timbalan Naib Canselor (Penyelidikan dan Inovasi)
Universiti Putra Malaysia
43400 UPM Serdang
Selangor Darul Ehsan, Malaysia

Tel: 03-8947 1242/1633 Fax: 03-8945 1673

*Head of Administration
Office of the Deputy Vice Chancellor (Research and Innovation)
Universiti Putra Malaysia
43400 UPM Serdang
Selangor Darul Ehsan, Malaysia*

Tel: 03-8947 1242/1633 Fax: 03-8945 1673

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BAHAGIAN A – MAKLUMAT PERIBADI PEMOHON <i>PART A – PERSONAL DETAILS OF APPLICANT</i>				
Gelaran <i>Salutation</i>	<input type="checkbox"/> Encik <i>Mr</i>	<input type="checkbox"/> Puan <i>Madam</i>	<input type="checkbox"/> Cik <i>Miss</i>	<input type="checkbox"/> Lain-lain <i>Others</i>
Nama seperti K.P./Pasport <i>Name as NRIC/Passport</i>				
No. K.P./Pasport <i>NRIC/Passport No.</i>				
Tarikh Lahir (hh/bb/tttt) <i>Date of Birth (dd/mm/yyyy)</i>		Umur <i>Age</i>		
Warganegara <i>Citizenship</i>		Jantina <i>Gender</i>		
Status Perkahwinan <i>Marital Status</i>		Bangsa <i>Race</i>		
No. Tel. Rumah <i>Home Phone No.</i>		No. Tel. Pejabat <i>Office Phone No.</i>		
No. Telefon Bimbit <i>Mobile Phone No.</i>		Alamat Emel <i>Email Address</i>		
Alamat Rumah Tetap <i>Permanent Home Address</i>				
Alamat Surat Menyurat <i>Mailing Address</i>				

*BAHAGIAN B – KELULUSAN AKADEMIK/PROFESIONAL <i>*PART B – ACADEMIC/PROFESSIONAL QUALIFICATION</i>				
Untuk diisi bagi permohonan lantikan baharu sahaja <i> To be completed for new appointment application only</i>				
SEKOLAH/INSTITUT/UNIVERSITI <i>School/Institution/University</i>	NAMA SIJIL DAN PROGRAM <i>Name of Certificate and Programme</i>	Tahun <i>Year</i>		TARIKH PENGURNIAAN IJAZAH <i>Date of Degree Conferment</i>
		Dari <i>From</i>	Hingga <i>To</i>	

*BAHAGIAN C – PENGALAMAN KERJA <i>*PART C – WORKING EXPERIENCE</i>				
Untuk diisi bagi permohonan lantikan baharu sahaja <i> To be completed for new appointment only</i>				
JAWATAN <i>Position</i>	MAJIKAN <i>Employer</i>	TAHUN <i>Year</i>		GAJI BULANAN <i>Monthly Salary</i>
		Dari <i>From</i>	Hingga <i>To</i>	

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***BAHAGIAN D – PENCAPAIAN (Sila sertakan salinan muka hadapan penerbitan/paten/anugerah)**

***PART D – ACHIEVEMENT (Please enclose the front page of each publication/patent/award)**

***Untuk diisi bagi permohonan lantikan baharu sahaja**

***To be completed for new appointment application only**

1) Senarai Penerbitan

List of Publications

(Please enclose the front page of publication or letter of acceptance accepted for publication in press)

i. Citation Indexed Journal

No.	Journal	Impact Factor
1.	Format: Author, A. A., Author, B. B., & Author, C. C. (Year). Title of article. <i>Title of Journal</i> , ISSN, xx, xxx-xxx Example: Omidvar, V., Siti Nor Akmar, A., Maziah, M. , Maheran, A.A. (2008). A transient assay to evaluate the expression of polyhydroxybutyrate genes regulated by oil palm mesocarp-specific promoter. <i>Plant Cell Reports</i> , 0721-7714, v53(27) : pp 40-45	1.974

ii. Non Citation Indexed Journal.

No.	Journal
1.	Format: Author, A. A., Author, B. B., & Author, C. C. (Year). Title of article. <i>Title of Journal</i> , ISSN, xx, xxx-xxx Example: Noor Hayati Khamaruddin, Mahiran Basri , Gwendoline EE Cheng Lian, Abu Bakar Salleh, Raja Noor Zaliha Raja A. Rahman, Arbakariya Ariff, Rosfarizan Mohamad and Roila Awang. (2008). Enzymatic synthesis and characterization of palm-based kojic acid ester. <i>Journal of Oil Palm Research</i> , 1511-2780, v20 : pp 461-468

iii. Chapter in Book

No.	Chapter in Book
1.	Format: Author, A. A. (Year). <i>Title of work</i> . Location: Publisher. ISBN, xx, xxx-xxx Example: Weete, J.D., Lai, O.M. and Akoh, C.C. (2008). <i>Microbial Lipase 3rd edition in Food Lipids</i> . Kuala Lumpur: CRC Press. 978-967-344-220-1, pp 532-584

iv. Book

No.	Book
1.	Format: Author, A. A. (Year). <i>Title of work</i> . Location: Publisher. ISBN, xx, xxx-xxx Example: Tan, W.S., Abdullah, J.O., Siew, C.C., Shafee, N., Mustafa, S., Leow, T.C., Jahanshiri, F., Saad, W.Z., Tong, C.C., Abd Wahab, M.N. and Abdullah, N. (2008). <i>Molecular Techniques for Identification of Bacteria</i> . UPM Press. 978-967-344-262-1, pp 155-178

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: 02

TARIKH KUATKUASA

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v. Proceeding

No.	Proceeding
1.	Format: Author, A. A., Author, B. B., & Author, C. C. (Year). Title of article. Name of Proceedings. Location. xx, xxx-xxx Example: X.D.Huang, J.B.Liang, H.Y.Tan and Y.W.Ho. (2008). Effect of condensed tannins from Leucaena on soya bean meal fermentation in vitro. Proceedings of the 29th Malaysian Society of Animal Production Annual Conference.p. Penang, Malaysia. 96-97.

2) Paten dan Produk Komersil*Patent and Commercialised Product*

No.	Patent
1.	Format: Inventor, A.A., Inventor, B.B., & Inventor, C.C. (Year). Title of patent. Country of filing. Status, Application/IP No. Example: Fatimah Md Yusoff (2008). Starter Kit For the Production of Pure and High Quality Microalgae. Vietnam. Pending Patent, 1-2008-00906

3) Anugerah Akademik dan Pencapaian*Academic Award and Achievement*

No.	Award/Achievement
1.	Format: Name of researcher (Year). Title of award. Location: Organizer Example: M. Hamiruce Marhaban (2006). Best Freestyle Award at Field Robot Event. Stuttgart, Germany: IEEE International Robotic Event

BAHAGIAN E: PERAKUAN PEMOHON
PART E: DECLARATION BY APPLICANT

Dengan ini saya mengaku bahawa:
I hereby declare that:

1. Saya pernah/tidak pernah* disabitkan atas tuduhan jenayah atau dihukum oleh mana-mana Mahkamah
I have/never been convicted of criminal charges or sentenced by any court*
2. Saya bukan seorang penagih dadah/saya seorang bekas penagih dadah*
*I am not a drug addict/I am a former drug user**
3. Saya pernah/tidak pernah* dibuang kerja oleh Kerajaan/Badan-badan Berkanun/Kuasa-kuasa Tempatan
I have/never been dismissed by Government/Statutory Bodies/Local Authorities*
4. Saya juga mengaku maklumat yang dinyatakan di dalam permohonan ini adalah benar
I also declare that the information stated in this application are true

*Sila potong mana yang tidak berkenaan
Please delete if not applicable

Tandatangan Pemohon
Applicant's Signature

:

Tarikh
Date

:

NO. SEMAKAN : ~~01~~ 02
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BAHAGIAN F: PENCAPAIAN PETUNJUK PRESTASI (KPI)*PART F: KEY PERFORMANCE INDICATOR (KPI) ACHIEVEMENT****Untuk diisi bagi permohonan pembaharuan kontrak sahaja**** To be completed for contract renewal only*

Senarai Tugas dan Tanggungjawab <i>List of Duties and Responsibilities</i>	KPI minimum yang ditetapkan <i>Minimum KPI set</i> <i>(Please refer to Appendix A)</i>	Pencapaian KPI <i>(Sila lampirkan dokumen sokongan)</i> <i>KPI Achievement</i> <i>(Please enclose supporting documents)</i>
1) Prepare research proposal		
2) Total research grant obtained as co-researchers		
3) Number of publications in refereed journals		
4) Assist in commercialization of research / intellectual property		
5) Assist in networking activity / research collaboration		

SEMAKAN OLEH PENYELIA*REVIEWED BY SUPERVISOR*Tandatangan Penyelia
Supervisor's Signature

:

Tarikh
Date

:

Cap Rasmi
Official Stamp

:

PENGESAHAN OLEH DEKAN/PENGARAH*ENDORCED BY DEAN/DIRECTOR*Tandatangan Dekan/Pengarah
Dean's/Director's Signature

:

Tarikh
Date

:

Cap Rasmi
Official Stamp

:

NO. SEMAKAN

: ~~01~~ 02

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TARIKH KUATKUASA

: ~~14/12/2018~~ 13/08/2021

*BAHAGIAN G: MAKLUMAT PENYELIDIKAN			
<i>*PART G: RESEARCH INFORMATION</i>			
*Untuk diisi bagi permohonan pelantikan baharu dan permohonan pembaharuan kontrak			
<i>* To be completed for new appointment application and renewal of contract application</i>			
Kluster Penyelidikan <i>Research Cluster</i>			
Program Penyelidikan <i>Research Programme</i>			
Kumpulan Penyelidikan <i>Research Group</i>			
Ketua Kumpulan Penyelidikan <i>Head of Research Group</i>			
Nama Ahli Kumpulan Penyelidikan <i>Name of Research Group Members</i>			
Nama Penyelia <i>Supervisor's Name</i>			
Jabatan/Laboratori <i>Department/Laboratory</i>			
Fakulti/Institut <i>Faculty/Institute</i>			
Tajuk Projek Penyelidikan Penyelia <i>Supervisor's Research Project Title</i>			
Jenis Geran Penyelidikan <i>Type of Research Grant</i>			
Penaja Geran Penyelidikan <i>Research Grant Sponsor</i>			
Tempoh <i>Period</i>		Tarikh Mula <i>Start Date</i>	
No. Pusat Kos Geran Penyelidikan <i>Vote No. of Research Grant</i>		Tarikh Tamat <i>End Date</i>	
Jumlah Geran Diluluskan (RM) <i>Amount of Grant Approved (RM)</i>		Baki Peruntukan (RM) <i>Remaining Allocation (RM)</i>	
Cadangan Tarikh Lantikan <i>Proposed Date of Appointment</i>		Cadangan Imbuhan (RM) <i>Allowance Proposed (RM)</i>	
Cadangan Tajuk Projek Felo Pasca Doktorat <i>Proposed Project Title for Post-Doctoral Fellow</i>			
PERAKUAN OLEH PENYELIA			
<i>DECLARATION BY SUPERVISOR</i>			
Tandatangan Penyelia <i>Supervisor's Signature</i>	:	Tarikh <i>Date</i>	:
Cap Rasmi <i>Official Stamp</i>	:		
KELULUSAN OLEH KETUA KUMPULAN PENYELIDIKAN			
<i>APPROVAL BY HEAD OF RESEARCH GROUP</i>			
Tandatangan Ketua Kumpulan Penyelidikan <i>Head of Research Group's Signature</i>	:	Tarikh <i>Date</i>	:
Cap Rasmi <i>Official Stamp</i>	:		

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BAHAGIAN H: CADANGAN PETUNJUK PRESTASI (KPI)*PART H: PROPOSED KEY PERFORMANCE INDICATOR (KPI)****Untuk diisi bagi permohonan pelantikan baharu dan permohonan pembaharuan kontrak**** To be completed for new appointment application and renewal of contract application*

Senarai Tugas dan Tanggungjawab <i>List of Duties and Responsibilities</i>	PETUNJUK PRESTASI DI FAKULTI/INSTITUT <i>'KEY PERFORMANCE INDICATOR' AT FACULTY/INSTITUTE</i> Sila rujuk Lampiran A untuk penetapan KPI calon (Please refer to Appendix A for KPI setting of candidate)
1) Prepare research proposal	
2) Total research grant obtained as co-researchers	
3) Number of publications in refereed journals	
4) Assist in commercialization of research / intellectual property	
5) Assist in networking activity / research collaboration	

DISEDIAKAN OLEH PENYELIA*PREPARED BY SUPERVISOR*Tandatangan Penyelia
Supervisor's Signature

:

Tarikh
Date

:

Cap Rasmi
Official Stamp

:

PENGESAHAN OLEH DEKAN/PENGARAH*ENDORCED BY DEAN/DIRECTOR*Tandatangan Dekan/Pengarah
Dean's/Director's Signature

:

Tarikh
Date

:

Cap Rasmi
Official Stamp

:

NO. SEMAKAN

: ~~01~~ 02

NO. ISU

: 02

TARIKH KUATKUASA

: ~~14/12/2018~~ 13/08/2021

BAHAGIAN I: SOKONGAN KETUA JABATAN/LABORATORI
PART I: RECOMMENDATION BY HEAD OF DEPARTMENT/LABORATORY

Permohonan ini adalah : **Disokong** **Tidak Disokong**
This application is Recommended Not Recommended

Ulasan
Remarks

Tandatangan Ketua Jabatan/
Ketua Laboratori
*Head of
Department's/Laboratory's
Signature*

Tarikh :
Date

Cap Rasmi :
Official Stamp

BAHAGIAN J: KELULUSAN DEKAN/PENGARAH
PART J: APPROVAL BY DEAN/DIRECTOR

Permohonan ini adalah : **Diluluskan** **Tidak Diluluskan**
This application is Approved Not Approved

Ulasan
Remarks

Tandatangan Dekan/Pengarah
Dean's/Director's Signature

Tarikh :
Date

Cap Rasmi :
Official Stamp

Lampiran A: Syarat lantikan baharu, senarai tugas dan tanggungjawab, syarat perkhidmatan, dan penetapan petunjuk prestasi Felo Pasca Doktor

Appendix A: *Terms of new appointment, list of duties and responsibilities, conditions of service, and setting key performance indicator (KPI) of Post-Doctoral Fellow*

A) Syarat Lantikan Baharu
Terms of new appointment

No.	Criteria	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
1.	Professional qualifications	Every candidate must have a Doctor of Philosophy (PhD) in related areas and the PhD degree must be within 5 years from the date of conferred	Every candidate must have a Doctor of Philosophy (PhD) in related areas and the PhD degree must be within 5 years from the date of conferred	Every candidate must have a Doctor of Philosophy (PhD) in related areas and the PhD degree must be within 5 years from the date of conferred
2.	Publication in journal	At least 5 CIJ	At least 10 CIJ	At least 15 CIJ

B) Senarai Tugas dan Tanggungjawab
List of duties and responsibilities

1. Carry out research activities in identifying projects or existing projects in the faculty or institute
2. Assist in publishing papers in high impact journals
3. Assist in supervising graduate students in conducting research and publication
4. Assist in conducting seminars on research conducted

C) Syarat Perkhidmatan
Conditions of Service

1. Terma lantikan adalah sepenuh masa
Terms of appointment is full time
2. Tempoh pelantikan adalah 1 hingga 3 tahun dan boleh dilantik semula
Period of appointment is 1 to 3 years and can be initially appointed
3. Kemudahan perubatan adalah untuk diri sendiri sahaja sama ada di Klinik Panel atau Hospital Kerajaan
Medical benefits is eligible for officers from the University's approved panel of medical practitioners or Government Hospital in Malaysia only
4. Tambang penerbangan adalah Kelas Ekonomi
Travel Class is Economy Class
5. Cuti tahunan adalah sebanyak 25 hari setahun
Annual leave is 25 days a year
6. Gred dan kadar imbuhan bulanan seperti berikut:
Grade and monthly remuneration rate as follow:

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Lampiran A: Syarat lantikan baharu, senarai tugas dan tanggungjawab, syarat perkhidmatan, dan penetapan petunjuk prestasi Felo Pasca Doktor

Appendix A: *Terms of new appointment, list of duties and responsibilities, conditions of service, and setting key performance indicator (KPI) of Post-Doctoral Fellow*

Felo Pasca Doktor <i>Post Doctoral Fellow</i>	Imbuhan Bulanan <i>Monthly Salary (Fixed all-in)</i>
Gred UPD8	RM 6,500.00
Gred UPD9	RM 6,000.00
Gred UPD10	RM 5,500.00

D) Penetapan Petunjuk

Setting key performance indicator (KPI)

1. Prepare research proposal

Appointment	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
First Year	Assist in preparing three (3) research proposals to: a) 1 government agency (other than university grants) b) 1 international body c) 1 industry/private company	Assist in preparing four (4) research proposals to: a) 2 government agencies (other than university grants) b) 1 international body c) 1 industry/private company	Assist in preparing five (5) research proposals to: a) 2 government agencies (other than university grants) b) 1 international body c) 2 industry/private company
Second Year	Assist in preparing two (2) research proposals to: a) 1 international b) 1 industry/private	Assist in preparing three (3) research proposals to: a) 1 international b) 2 industry/private	Assist in preparing four (4) research proposals to: a) 2 international b) 2 industry/private
Third Year and onwards	Same as the second year	Same as the second year	Same as the second year

2. Total research grant obtained as co-researchers

Appointment	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
First Year	None	None	None
Second Year	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private <u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private <u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private <u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private

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Lampiran A: Syarat lantikan baharu, senarai tugas dan tanggungjawab, syarat perkhidmatan, dan penetapan petunjuk prestasi Felo Pasca Doktor

Appendix A: *Terms of new appointment, list of duties and responsibilities, conditions of service, and setting key performance indicator (KPI) of Post-Doctoral Fellow*

Third Year and onwards	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private	<u>Science/Engineering:</u> Government : RM30,000 International/ : RM20,000 Industry/ Private
	<u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private	<u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private	<u>Social Science:</u> Government : RM20,000 International/ : RM10,000 Industry/ Private

3. Number of publications in refereed journals

Appointment	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
First Year	1 CIJ as a first author/co-author	1 CIJ as a first author/co-author	1 CIJ as a first author/co-author
Second Year	1 CIJ as a first author; and 1 CIJ as a co-author	2 CIJ as a first author; and 1 CIJ as a co-author	1 CIJ as a first author; and 2 CIJ as a co-author
Third Year and onwards	2 CIJ as a first author	3 CIJ as a first author	4 CIJ as a first author

4. Assist in commercialization of research / intellectual property

Appointment	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
First Year	None	None	None
Second Year	1 research group	1 research group	1 research group
Third Year and onwards	1 research group	2 research groups	3 research groups

5. Assist in networking activity / research collaboration

Appointment	Post-Doctoral (UPD10)	Post-Doctoral (UPD9)	Post-Doctoral (UPD8)
First Year	None	None	None
Second Year	1 local/international	2 local/international	2 local and 1 international
Third Year and onwards	1 local/international	1 local and 1 international	2 local and 1 international

*Post-Doctoral Fellow must fulfill the above performance indicators and the final decision is under consideration of the Selection Committee (Research)



PERKHIDMATAN UTAMA
PENYELIDIKAN DAN INOVASI

PEJABAT TIMBALAN NAIB CANSOLOR
(PENYELIDIKAN & INOVASI)
Kod Dokumen:PU/PY/BR45/ASET

BORANG PEMBELIAN ASET PENYELIDIKAN
RESEARCH ASSET PURCHASE FORM

MAKLUMAT PROJEK

Tajuk Projek: _____

Ketua Projek: _____ PTJ : _____

No. Telefon (Pejabat): _____ No. Pusat Kos /
Kod Projek: _____

Tarikh mula: _____ Tarikh tamat: _____

No. H/P : _____

Jumlah Peruntukan
Diluluskan di bawah
Vot 35000: _____ Baki Terkini Vot
35000: _____

NO.	JENIS ASET / INVENTORI	KUANTITI	HARGA SEUNIT (RM)	JUMLAH (RM)

Adakah alatan yang dipohon telah diluluskan oleh penaja?

Ya Tidak

Jika Tidak, sila berikan justifikasi pembelian:

Dokumen-dokumen sokongan

- Salinan sebut harga yang berkaitan.
 Salinan penyata kewangan terkini

PERAKUAN PEMOHON

Saya mengaku bahawa segala maklumat/keperluan pembelian adalah betul dan benar.

Tarikh : _____

Tandatangan Penyelidik dan Cap Rasmi

PENGESAHAN / KELULUSAN TIMBALAN DEKAN (PENYELIDIKAN) / PENGARAH INSTITUT

1. Permohonan pembelian dibuat dalam tempoh 3 bulan sebelum tarikh tamat projek Ya Tidak

2. Alatan yang dipohon adalah kategori aset, bukan aksesori atau bahan penyelidikan Ya Tidak

Jika Tidak, sila berikan ulasan :

3. PTJ mempunyai infrastruktur yang sesuai untuk alatan ini Ya Tidak

Jika Tidak, sila berikan ulasan

4. PTJ mempunyai tenaga mahir yang berupaya untuk mengendalikan alatan ini Ya Tidak

5. Harga alatan ini memerlukan proses sebut harga (RM20 ribu) / tender (RM50 ribu)
(Jika 'Ya', sila majukan permohonan ini untuk kelulusan RMC) Ya Tidak

6. Alatan yang dipohon terdapat dalam proposal muktamad yang diluluskan oleh penaja
(Jika 'Tidak', sila majukan permohonan ini untuk kelulusan RMC) Ya Tidak

Kelulusan & Ulasan:

Diluluskan

Tidak Diluluskan

KELULUSAN PENGARAH/TIMBALAN PENGARAH RMC BAGI PERMOHONAN PEMBELIAN ALATAN MELEBIHI RM20 RIBU ATAU TIADA DALAM PROPOSAL DILULUSKAN OLEH PENAJA

Diluluskan

Tidak Diluluskan

Ulasan:

Tarikh:

Tandatangan Pengarah/Timbalan Pengarah RMC dan Cap Rasmi