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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 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]

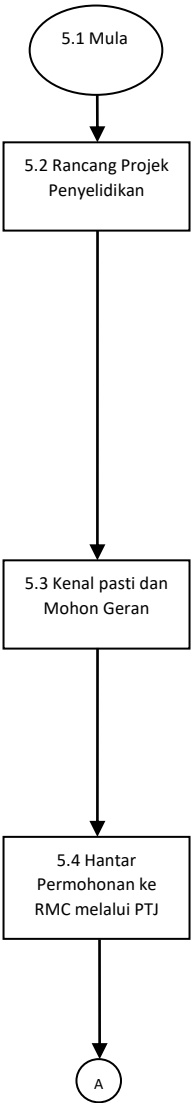
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4.0 TERMINOLOGI DAN SINGKATAN

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
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	 <pre> graph TD A((5.1 Mula)) --> B[5.2 Rancang Projek Penyelidikan] B --> C[5.3 Kenal pasti dan Mohon Geran] C --> D[5.4 Hantar Permohonan ke RMC melalui PTJ] D --> E((A)) </pre>	<p>5.2 (a) Rancang projek penyelidikan merujuk kepada dokumen berkaitan antaranya;</p> <ul style="list-style-type: none"> (i) pelan strategi UPM; (ii) polisi penyelidikan universiti; (iii) program penyelidikan universiti / bidang tujuan 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. <p>(b) Sedia kertas cadangan penyelidikan berdasarkan keperluan penaja.</p>	<p>Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p> <p>Borang Permohonan Geran Luar (PU/PY/BRO2/GERANLUAR)</p>
KP	<p>5.3 Kenal pasti kategori geran yang ingin dipohon seperti berikut:</p> <ul style="list-style-type: none"> (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/BRO2/GERANLUAR) bagi geran yang tiada format penaja geran. 		
KP	<p>5.4 Hantar Permohonan ke RMC melalui PTJ</p>	<p>5.4 (a) Hantar permohonan ke RMC melalui Pejabat TDP/ PIA PTJ.</p> <p>(b) Terima dan semak kertas cadangan permohonan geran penyelidikan berdasarkan keperluan penaja geran.</p>	<p>Garis Panduan Pengurusan Penyelidikan dan Inovasi Untuk Pusat Tanggung jawab (PTJ) (PU/PY/GP16/PTJ)</p>
PTJ			



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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
PYB RMC	<pre> graph TD A((A)) --> D55{5.5 Kategori Geran Utama?} D55 -- Ya --> B56[5.6 Laksanakan Penilaian Permohonan] D55 -- Tidak --> B((B)) B56 --> B57[5.7 Buat Pindaan] B57 --> D58{5.8 Sokongan JKP?} D58 -- Ya --> B59[5.9 Hantar Permohonan Kepada Penaja] D58 -- Tidak --> C((C)) B((B)) --> B59 B59 --> B510[5.10 Terima Keputusan] B510 --> D((D)) </pre>	5.5 Kategori geran utama (a) Jika Ya, ikut langkah 5.6. (b) Jika Tidak, ikut langkah 5.9.	<p style="text-align: center;">Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCP (PU/PY/GP17/PTNCP)</p>
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
<p>PRMC / PYB RMC / KP KP PRMC/TNCPI/KP PYB RMC KP KP</p>	<pre> graph TD D((D)) --> D511{5.11 Berjaya?} D511 -- Ya --> D512{5.12 Penyelidik Setuju?} D511 -- Tidak --> C((C)) D512 -- Ya --> P513[5.13 Sedia Dokumen Perjanjian] D512 -- Tidak --> C P513 --> D514{5.14 Perlu Pelepasan Etika?} D514 -- Ya --> P515[5.15 Mohon Kelulusan Etika] D514 -- Tidak --> E((E)) P515 --> F((F)) </pre>	<p>5.11 Berjaya (a) Jika Ya, ikut langkah 5.12. (b) Jika Tidak, proses tamat.</p> <p>5.12 Penyelidik bersetuju (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. (b) Jika Tidak, proses tamat.</p> <p>5.13 (a) Sediakan dokumen dan dapatkan persetujuan dokumen perjanjian bagi geran penyelidikan utama (jika berkaitan) dan geran luar. (b) Simpan salinan perjanjian/ surat tawaran berkaitan penerimaan/ penolakan tawaran geran penyelidikan.</p> <p>5.14 Perlu pelepasan etika (a) Jika ya, ikut langkah 5.15. (b) Jika tidak, ikut langkah 5.17.</p> <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. (b) Hantar borang permohonan tersebut kepada RMC.</p>	<p>Salinan perjanjian/ Surat tawaran berkaitan penerimaan/ penolakan tawaran geran penyelidikan</p> <p>Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p>



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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 -- Tidak --> C((C)) D -- Ya --> B[5.17 Laksanakan Penyelidikan] E((E)) --> B B --> C2[] C2 --> H[5.18 Sedia dan Pantau Laporan] H --> G((G)) </pre>	5.16 (a) Jika Ya, ikut langkah 5.17. (b) Jika Tidak, proses tamat.	<p>Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p> <p>Prosedur Penentuan Peralatan/Verifikasi (UPM/SOK/CAL/P001)</p> <p>Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p> <p>Garis Panduan Penyelidikan dan Inovasi Untuk Penyelidik (PU/PY/GP15/PENYELIDIK)</p> <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 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.	
KP		(c) Dapatkan keperluan sumber penyelidikan seperti sumber manusia, bekalan perkhidmatan dan peralatan.	
KP		(d) Pastikan peralatan penyelidikan dikalibrasi/diverifikasi sebelum menjalankan penyelidikan.	
KP		(e) Rekod kerja penyelidikan dalam buku rekod aktiviti penyelidikan.	
KP		(f) Laksana penilaian prestasi Pembantu Penyelidikan.	
KP		5.18 (a) Sedia laporan kemajuan berkala dan laporan akhir mengikut keperluan penaja.	
TDP/PIA/PRMC		(b) Pantau laporan kemajuan berkala dan laporan akhir mengikut keperluan penaja.	
TDP/PIA		(c) Laksana penilaian laporan prestasi penyelidikan.	



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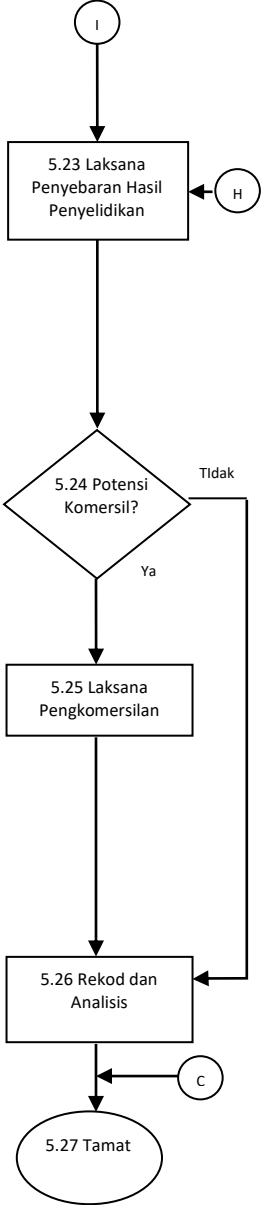
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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
<p>TDP/PIA</p> <p>PRMC KP</p> <p>KP</p> <p>KP/PSP</p> <p>PPSP</p>	<pre> graph TD G((G)) --> B1[5.19 Hantar Laporan Kepada Penaja] B1 --> B2[5.20 Terima dan Laksana Maklum Balas Cadangan Penaja]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


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Tanggung jawab	Carta alir	Perincian	Rekod/ Dokumen Rujukan
KP/PPSP/PRMC	 <pre> graph TD I((I)) --> 5.23[5.23 Laksana Penyebaran Hasil Penyelidikan] H((H)) --> 5.23 5.23 --> 5.24{5.24 Potensi Komersil?} 5.24 -- Ya --> 5.25[5.25 Laksana Pengkomersilan] 5.24 -- Tidak --> 5.26[5.26 Rekod dan Analisis] 5.25 --> 5.26 C((C)) --> 5.26 5.26 --> 5.27((5.27 Tamat)) </pre>	5.23 Laksana penyebaran hasil penyelidikan yang bersesuaian berdasarkan keperluan.	Garis Panduan Penyelidikan dan Inovasi Untuk Pusat Tanggung jawab (PTJ) (PU/PY/GP16/PTJ) Garis Panduan Penyelidikan dan Inovasi Untuk Pejabat TNCPi (PU/PY/GP17/PTNCPi)
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.	
KP PRMC/PPSP/ TDP/PIA		5.26 (a) Rekod data hasil penyelidikan ke 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.800-2/2 Geran Penyelidikan UPM.RMC.800-2/1/[TAHUN]/[NAMA GERAN]/[NO PUSAT KOS@TABUNG AMANAH]</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 Pembelian Aset Penyelidikan (PU/PY/BR45/ASET) - jika ada Borang Laporan Akhir Penyelidikan (PU/PY/BR10/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) 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 Dokumen yang berkaitan 	Penolong Pegawai Tadbir	PT RMC	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.RMC.800-3 Geran Kerajaan Utama UPM.RMC. 800-1/1/[NAMA GERAN AWAM]</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 Surat arahan buka akaun projek kepada Bursar Laporan Perbelanjaan Kewangan setiap setengah tahun dari Bursar Dokumen yang berkaitan 	Penolong Pegawai Tadbir	TDP/PIA/ PT RMC	Pejabat TDP /PIA RMC 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia
3.	<p>UPM.RMC. 800-1/2/[NAMA GERAN SWASTA @ ANTARABANGSA]</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 Dokumen yang berkaitan 	Penolong Pegawai Tadbir	PT RMC	RMC 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 12/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
4.	UPM.PTJ. 800-3/1/[NAMA GERAN AWAM] <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 • Dokumen yang berkaitan 	Penolong Pegawai Tadbir	PT PTJ	PTJ 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia
5.	UPM.PTJ. 800-3/2/[NAMA GERAN SWASTA @ ANTARABANGSA] <ul style="list-style-type: none"> • Surat makluman /pelawaan penajaan kepada PTJ • Ringkasan senarai permohonan yang dihantar ke RMC /penaja • Surat makluman keputusan permohonan (jika ada) • Dokumen yang berkaitan 	Penolong Pegawai Tadbir	PT PTJ	PTJ 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 13/19
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Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
6.	<p>UPM.RMC.800-2/1 Pemantauan Penyelidikan</p> <p>UPM.PTJ 800-3/3/[TAHUN]/[NAMA GERAN]/[NO PUSAT KOS@TABUNG AMANAH]</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 Pembelian Aset Penyelidikan (PU/PY/BR45/ASET) - jika ada • Borang Laporan Kemajuan Penyelidikan (PU/PY/BR09/LKP) / format penaja • Borang Laporan Akhir Penyelidikan (PU/PY/BR10/LAP) / format penaja • Borang Laporan Output Penyelidikan (PU/PY/BR15/OUTPUT) • 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 PTJ	Pejabat TDP / PIA 7 tahun setelah semua projek tersenarai tamat	Ketua Pengarah Arkib Negara Malaysia

	PERKHIDMATAN UTAMA PENYELIDIKAN DAN INOVASI	Halaman: 14/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
4.	UPM.RMC.800-1/1 Kerjasama Penyelidikan Dalam Negara <ul style="list-style-type: none"> • Surat kelulusan dari penaja/ Dokumen perjanjian • Surat ikatan amanah • Sesalinan 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 • Sesalinan Non-Disclosure Agreement – 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: 15/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
5-	UPM.RMC.800-1/2 Kerjasama Penyelidikan Luar Negara <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 Non-Disclosure Agreement – jika berkaitan Surat menyurat 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: 16/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
6.	UPM.PSP.300-6/2/1 JAWATANKUASA PENILAIAN HARTA INTELEK <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: 17/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021


Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
7.	UPM.PSP.800-6/4/2 Promosi dan Pemasaran Inovasi <ul style="list-style-type: none"> • Surat berkaitan • Maklumat pameran • Senarai dan maklumat penyelidikan • Senarai semak pameran 	PTPO	PT	PSP 3 tahun	Ketua Pengarah Arkib Negara Malaysia
8.	UPM.PSP.800-6/1/1 Teknologi <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	Halaman: 18/19
	PEJABAT TIMBALAN NAIB CANSOLOR (PENYELIDIKAN DAN INOVASI) Kod Dokumen: UPM/PU/PY/P001	No. Semakan: 0405
	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021

Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
9.	UPM.PSP.300-6/2 Harta Intelek <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.	UPM.RMC.800-2/1/4 Jawatankuasa Pemilih Menghadiri Seminar/Konferansi/ Simposium dan Sangkutan Penyelidikan Luar Negara UPM.RMC. 800-4/1/JKKSKBL <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	Halaman: 19/19
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	PROSEDUR PENGURUSAN PENYELIDIKAN DAN INOVASI <i>Dokumen ini dibangunkan dari hakcipta Modul EZI-SPK (LY2017001569)</i>	No. Isu: 03 Tarikh: 13/08/2021 29/10/2021

Bil	Kod Fail, Tajuk Fail dan Senarai Rekod	Tanggungjawab Mengumpul dan Memfail	Tanggungjawab Menyenggara	Tempat dan Tempoh Simpanan	Kuasa Melupus
11.	UPM. TNCPI.100-6/1/102 Mesyuarat Jawatankuasa Pemilih (Kumpulan Pengurusan dan Profesional) <ul style="list-style-type: none"> • Agenda Mesyuarat • Minit Mesyuarat • Surat Kelulusan • Surat-surat berkaitan 	PTP O	PT	TNCPI 5 tahun	Ketua Pengarah Arkib Negara Malaysia
12.	UPM. TNCPI.500-8/4/1 NAMA/NOM.STAF <ul style="list-style-type: none"> • Borang Permohonan Felo Pasca Doktoral (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/NILAI PRESTASI) • 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

	<p style="text-align: center;">MAIN SERVICE RESEARCH AND INNOVATION OFFICE OF DEPUTY VICE CHANCELLOR (RESEARCH AND INNOVATION) Document Code: UPM/PU/PY/P001</p>	Halaman: 2/16
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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)
-	Animal Welfare (Act 2015)
-	Medical Devices (Act 2012)
-	Water Act 1920 (Act 418)


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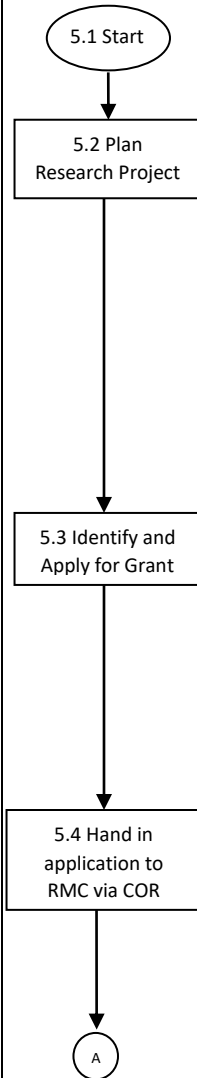
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4.0 TERMINOLOGY AND ACRONYM

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
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)


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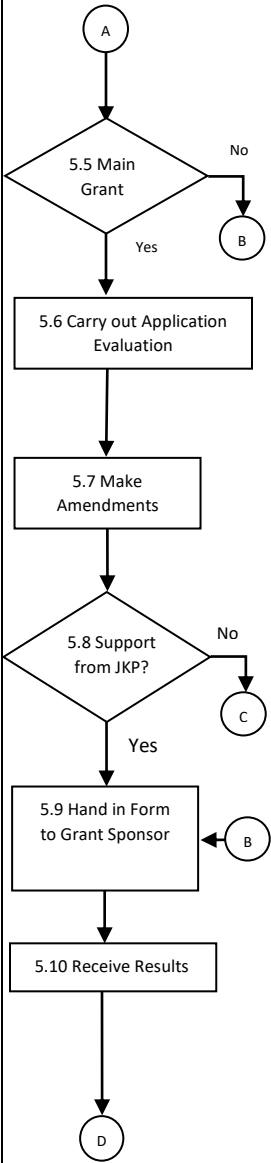
5.0 PROCESS IN DETAIL

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>	6.2 (c) Plan research project by referring to related documents such as; (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	
KP		(d) Prepare research proposal based on the requirement of sponsor.	
KP		5.3 Identify grant category to apply for (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.	Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK) External Grant Application Form (PU/PY/BRO2/GERANLUAR)
KP PTJ		5.4 Hand in application to RMC via COR	5.4 (a) Submit application to RMC via the TDP/PIA PTJ Office (b) Receive and review research grant application proposal based on the requirements of the grant sponsor.

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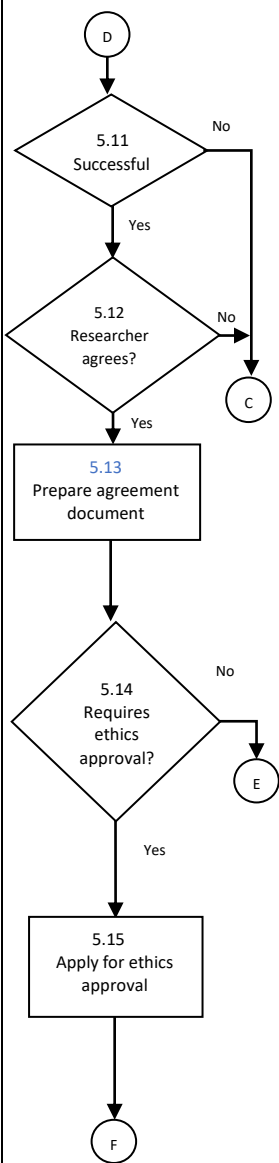
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Responsibility	Flowchart	Details	Record/ Reference Document
PYB RMC	 <pre> graph TD A((A)) --> D1{5.5 Main Grant} D1 -- No --> B((B)) D1 -- Yes --> E1[5.6 Carry out Application Evaluation] E1 --> E2[5.7 Make Amendments] E2 --> D2{5.8 Support from JKP?} D2 -- No --> C((C)) D2 -- Yes --> E3[5.9 Hand in Form to Grant Sponsor] B --> E3 C --> 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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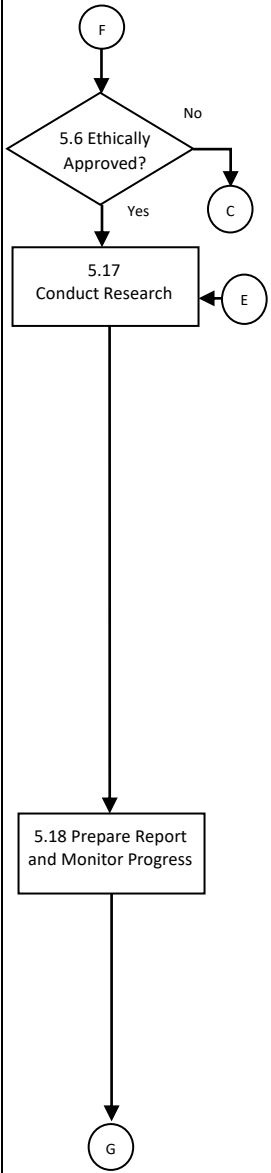
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Responsibility	Flowchart	Details	Record/ Reference Document
PRMC / PYB RMC / KP KP PRMC/TNCPI/KP PYB RMC KP KP		<p>5.11 Successful (c) If Yes, follow step 5.12 (d) If No, the process ends.</p> <p>5.12 Researcher agrees (c) If Yes, follow step 5.13 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.</p> <p>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.</p> <p>5.14 Requires ethics approval (c) If Yes, follow step 5.15 (d) If No, follow step 5.17</p> <p>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</p>	<p>Copy of agreement/offer letter related to acceptance/rejection of research grant offer.</p> <p>Guidelines For Research and Innovation Management for Researchers (PU/PY/GP15/PENYELIDIK)</p>

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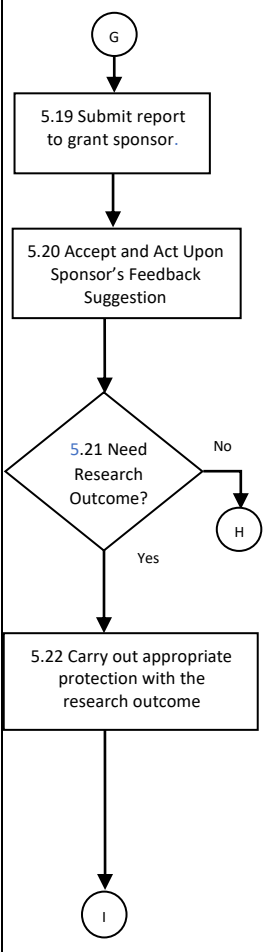
	MAIN SERVICE RESEARCH AND INNOVATION OFFICE OF DEPUTY VICE CHANCELLOR (RESEARCH AND INNOVATION) Document Code: UPM/PU/PY/P001	Halaman: 7/16
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Responsibility	Flowchart	Details	Record/ Reference Document
KP/PTJ JKE	 <pre> graph TD F((F)) --> D{5.6 Ethically 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		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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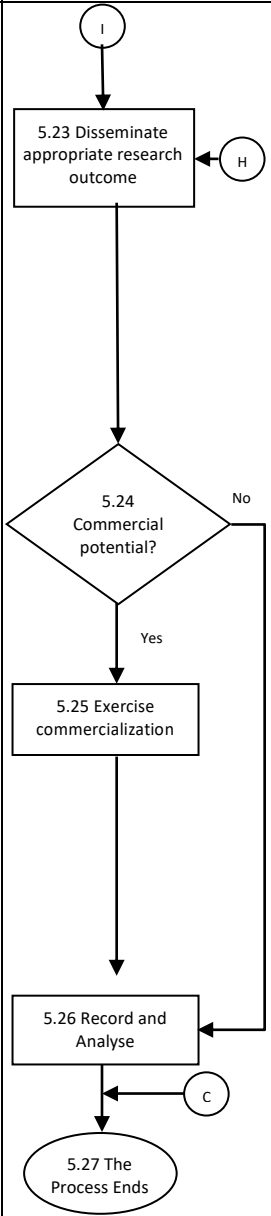
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Responsibility	Flowchart	Details	Record/ Reference Document
TDP/PIA PRMC KP KP		5.19 (c) Submit the revised report by TDP/PIA to PRMC Office. (d) Verify the report and submit to grant sponsor. 5.20 (c) Receive feedback from grant sponsor via PRMC or 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 5.22 (c) Carry out appropriate protection with the research outcome (d) Inform the results to the Head of PTJ	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)

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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 TNCP (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	
		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 TNCP (PU/PY/GP17/PTNCP)
KP PRMC/PPSP/TDP/PIA		5.26 (c) Record research results data in the existing system. (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.800-2/2 Research Grant UPM.RMC.800-2/1/[YEAR]/[GRANT NAME]/[VOTE NUMBER]</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 Research Asset Purchase Form (PU/PY/BR45/ASET) - 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). 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 graduate confirmation letter by senate (if applicable). Related documents. 	Assistant Administrative Officer	PT RMC	RMC 7 years after research is complete	Director General National Archives of Malaysia
2.	<p>UPM.RMC.800-3 Main Government Grant UPM.RMC. 800-1/1/[PUBLIC GRANT NAME]</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 Letter of Account Creation to Bursar Half yearly Expenditure Report from Bursar Related Documents 	Assistant Administrative Officer	TDP/PIA/ PT RMC	TDP /PIA office RMC 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.	UPM.RMC. 800-1/2/ [PRIVATE@INTERNATIONAL GRANT NAME] <input type="checkbox"/> Sponsorship/Funding Notice/Invitation to PTJ <ul style="list-style-type: none"> Summary of application list sent to RMC/sponsor Letter to inform application result to PTJ Related Documents 	Assistant Administrative Officer	PT RMC	RMC 7 years after all listed research are completed	Director General National Archives of Malaysia
4.	UPM.PTJ. 800-3/1/[PUBLIC GRANT NAME] <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 Related Documents 	Assistant Administrative Officer	PT PTJ	PTJ 7 years after all listed research are completed	Director General National Archives of Malaysia
5.	UPM.PTJ. 800-3/2/[PRIVATE@INTERNATIONAL GRANT NAME] <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 Related Documents 	Assistant Administrative Officer	PT PTJ	PTJ 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.RMC.800-2/1 Research Monitoring UPM.PTJ 800-3/3/[YEAR]/[GRANT NAME]/[VOTE NUMBER]</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 Asset Purchase Form (PU/PY/BR45/ASET) - if any • 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/BR10/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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4.	UPM.RMC.800-1/1 Domestic Research Collaboration <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
5.	UPM.RMC.800-1/2 Kerjasama Penyelidikan Luar-Negara <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.	UPM.PSP.300-6/2/1 Intellectual Property Committee <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 Perm anent	Director General National Archives of Malaysia
7.	UPM.PSP.800-6/4/2 Innovation Promotion and Marketing <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

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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
8.	UPM.PSP.800-6/1/1 Technology <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
9.	UPM.PSP.300-6/2 Intellectual Property <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
10.	UPM.RMC.800-2/1/4 Seminars/ Conferences/ Symposiums and Overseas Research Attachments Working Committee UPM.RMC. 800-4/1/JKKSBL <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

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11.	UPM. TNCPI.100-6/1/102 Mesyuarat Jawatankuasa Pemilih (Kumpulan Pengurusan dan Profesional) <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.500-8/4/1 NAME/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