The University of Nottingham

UNITED KINGDOM · CHINA · MALAYSIA

UNMC Research & Knowledge Transfer Staff Handbook

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University of Nottingham, Malaysia Campus: Research and Knowledge Transfer Staff Handbook

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Author:	Professor Graham Kendall, Vice-Provost (Research and Knowledge Transfer)

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1. Introduction

This document outlines the procedures to be adopted for research and knowledge transfer activity at The University of Nottingham, Malaysia Campus (UNMC). It also offers advice for some activities.

Many of the procedures and processes are based on those used in the UK. However, there are different cultural, country and employment differences between the two campuses and it is important that these are covered in this supplementary document.

This handbook is available on Workspace:

https://workspace.nottingham.ac.uk/display/RKTMY/Home

Feedback from all staff at UNMC is welcome and any views will be considered for future versions of the handbook. Any views should be sent to Professor Graham Kendall, Vice Provost (Research and Knowledge Transfer) (Graham.Kendall@nottingham.edu.my).

2. Change Control Record

Version	Date	Notes
1.00	24/01/2012	Initial draft for discussion with Research Strategy Group
1.01	09/02/2012	Requested comments from the UK on various sections
1.02	09/02/2012	Incorporated feedback received from 1.00 and 1.01. This version was presented to MG for comment
1.03	27/02/2012	Updated from MG feedback
1.04	04/04/2012	Version made available to all staff, after final proof read
1.05	31/05/2012	Proof reading corrections suggested by Ruth Tomlinson
2.00	07/01/2013	Major update to reflect use of Workspace, inclusion of Exec Ed, Sabbatical policy, as well as many minor changes made
3.00	30/09/2013	Open Access Policy Updated (Section 25), Active Grants Policy Updated (Section 14), MOU/MOA Procedures Updated (section 9)

3. Glossary

CEO	Chief Executive Officer
ERGS	Exploratory Research Grant Scheme
FRGS	The Fundamental Research Grant Scheme
GS	Graduate School
IFMS	Institution Formation Management System
IP	Intellectual Property
KPI	Key Performance Indicators
MDeC	Multimedia Development Corporation (http://www.mdec.my)
MG	Management Group
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MSC	Multimedia Super Corridor
MyRA	Malaysian Research Assessment
MyRIAD	Malaysia Research Innovation and Development. This is the company known formally as Nottingham MyRIAD Solutions Sdn Bhd.
NDA	Non-Disclosure Agreement
PRGS	Prototype Research Grant Scheme
R&KT	Research and Knowledge Transfer
REF	Research Excellence Framework
RGS	Research and Graduate Services
RU	Research University
T&L	Teaching and Learning
THE	Times Higher Education
UNiM	University of Nottingham in Malaysia
UNMC	University of Nottingham, Malaysia Campus
VP	Vice-Provost
Workspace	Workspace is the University's Collaborative platform helping you to share news, information and documentation (see section 4.3).

Note: All the acronyms above may not be used in this document but are provided for information and for future versions.

4. Staff Handbook, University Quality Manual and Workspace

4.1.UK Staff Handbook

Human Resources, in the UK (http://www.nottingham.ac.uk/hr/index.aspx), maintain a staff handbook. Although many people at UNMC have contracts with our Malaysian partner, the UK staff handbook is still applicable for many areas of Research and Knowledge Transfer and it is a useful source of reference.

In this document many of the guidelines are based on those from the UK staff handbook and as somebody who works for the University of Nottingham we would also expect you to use the UK Staff Handbook when looking for information.

4.2.University Quality Manual

A Quality Manual is maintained by Academic Services.

> *"The **Quality Manual** is relevant to both staff and students. It was established in 1995 and aims to act as a central source of information for policies and procedures which support the University in its aim to assure the quality of its learning, teaching and supervision. Students may expect advice from tutors on the use and interpretation of the Quality Manual if they need it."*

The Quality Manual can be found at

http://www.nottingham.ac.uk/academicservices/qualitymanual/aboutthequalitymanual.aspx

The Quality Manual provides the main guidance that you should follow with respect to research activity (and Teaching and Learning). The material in this document is to supplement the Quality Manual for those areas that are different, or require clarification, to the UK quality manual.

4.3.Workspace

We are using Workspace as the main repository for this handbook, and associated documents/information.

Workspace can be accessed at (note, it is hosted in the UK):

https://workspace.nottingham.ac.uk/

The UNMC Research and Knowledge Transfer page can be accessed via:

https://workspace.nottingham.ac.uk/display/RKTMY/Home

5. Research Calendar

Throughout the year UNMC is committed to carrying out a number of keys tasks for a variety of reasons. The two mains reasons are i) to report to various government bodies (such as MOHE, MyRA etc.) and ii) to provide us with enough time to respond to initiatives such as call for proposals.

This research calendar, will be updated as information becomes known.

5.1.January

MDeC Reporting

UNiM is an MSC company. We are required to make quarterly returns to MDeC. In January we are required to report on the previous year (the cumulative figures for Quarter 1, Quarter 2, Quarter 3 and Quarter 4).

FRGS/ERGS/PRGS proposals (final review)

Following internal faculty screening (see December), the proposals will be reviewed by the UNMC's research support office (which may include the Research Strategy Committee). We aim to have the proposals ready to submit by the end of January. There could still be minor changes after this date, but we envisage having the proposals almost ready to submit by the end of January.

5.2.February

MOHE - IFMS Reporting

Every year we have to report to MOHE, which includes data about our research activity. We need to collect data about our grants, our publications and our academic partners.

FRGS/ERGS/PRGS proposals (submission)

Depending on the deadlines specified by MOHE, we will submit the proposals that have been in preparation since last September.

5.3.March

Data Collection

This is one of our checkpoints for data collection. This data collection will focus on the MyRA return.

5.4.April

MDeC Reporting

UNiM is an MSC company. We are required to make quarterly returns to MDeC. In April we are required to report on Quarter 1.

MyRA return

Every year, we are required to report to MyRA our research activity. The reporting covers the previous calendar year. This is an important return for the campus and data collection will be carried out on a continual basis, with key points being identified in this calendar.

5.5. May

5.6. June

5.7. July

MDeC Reporting

UNiM is an MSC company. We are required to make quarterly returns to MDeC. In July we are required to report the cumulative figures for Quarter 1 and 2.

5.8. August

5.9. September

Grant Writing Workshop

This internal workshop may change focus year-on-year but we would envisage it being an opportunity for experienced grant writers to provide advice and guidance on how to write strong grant proposals to those with less knowledge and experience.

Expression of Interest for ERGS/FRGS/PRGS proposals

The call for ERGS, FRGS and PRGS proposals usually comes out in January or February. In order to effectively prepare we will not wait for the call, but start preparing now, with the aim of having draft proposals ready before the end of December and almost completed proposals ready by December.

We will invite expressions of interest from any researchers who are planning to submit a proposal for one of these grants.

Data Collection

This is one of our checkpoints for data collection. Note: The data we will collect at this time is still to be defined.

5.10. October

MDeC Reporting

UNiM is an MSC company. We are required to make quarterly returns to MDeC. In October we are required to report the cumulative figures for Quarter 1, Quarter 2 and Quarter 3.

Grant Progress Workshop

This internal workshop will invite those holding active grants to present their research to the rest of the university (UNMC and visitors from our other campuses). We may also invite specifically chosen external partners. The aim of the workshop is for other members of the university to be informed of the funded research that is being carried out at UNMC. It also gives the opportunity for members of your research team (e.g. PhD students) to disseminate their research in a formal academic presentation and to also defend their work.

5.11. November

ERGS/FRGS/PRGS workshop

An internal workshop will enable all those who wish to submit an ERGS, FRGS or PRGS proposal to present their idea to an internal committee. The aim is for the committee to provide constructive feedback to enable the research idea to be developed and (possibly) improved.

5.12. December

ERGS/FRGS/PRGS proposals (faculty screening)

By the end of December, the ERGS/FRGS/PRGS proposals should have undergone faculty screening (and have been updated in light of those comments). The updated proposals should be submitted to the UNMC research office.

Data Collection

This is one of our checkpoints for data collection. We will collect the following data (and this list will be added to as necessary).

- Academic Staff in post as at 31st Dec. This will include their title, qualifications and (if applicable) how many years since their PhD.
- The publications that we have published in the past year, including their impact, whether they are Scopus and/or ISI listed, the number of citations they have attracted etc.

6. Executive Education

The various forms referred to in this section can be downloaded from Workspace:

https://workspace.nottingham.ac.uk/display/RKTMY/Executive+Education

1. Executive Education can be offered in one of two forms:

   a. Education which is carried out on behalf of the University of Nottingham. In this case, the name/logo of the University of Nottingham can be used to advertise the event and any certificate awarded can state the affiliation with the University of Nottingham. UNMC costs associated with this type of activity will be recovered through a flat rate of 20% of any surplus.

   b. Education which is carried out as private consultancy. In this case, the name/logo of the University of Nottingham cannot be used to advertise the event and any certificate awarded cannot state any affiliation with the University of Nottingham. UNMC costs associated with this type of activity will be recovered through an agreed budget with the consultant. Using this mechanism, you are not covered by University insurance and you must make your own arrangements.

   It would normally be expected that (a) is used as this provides more exposure to UNMC, enables us to return this activity in MyRA etc. If (b) is your chosen delivery route, a strong case must be presented. We reserve the right to insist that (a) is used.

   Both types of Executive Education are subject to being declared as external working (see point 7).

2. The courses that are delivered must be non-award bearing. That is, they cannot lead to the award of a University of Nottingham degree certificate.

3. Classes cannot consist of both award bearing students (award bearing students includes post-graduate students (e.g. Masters by Research, PhD etc.)) and non-award bearing students. Executive Education must only comprise students participating in Executive Education.

4. It is possible to include courses that we usually teach as part of our degree programmes (but not for private consultancy, where no university material can be used). If existing courses are included, and the assessment follows the recognised guidelines, then the person who completes this module could use it to APL/APEL from our degree programmes. However, if they exercise this right they must pay the difference between the fee that they paid for the Executive Education and the normal cost of the module. When calculating the original cost of the course, it should be done taking into account any other training that was also received. That is, the original cost should be a ratio of the entire training that was received.

5. Executive Education would normally be a bespoke course that is run in response to a specific request from an external company.

6. It is possible for the personnel attending the course to receive a "*Certificate of Achievement*" or a "*Certificate of Participation*" but this document must not suggest that they have received a formal qualification from the University of Nottingham. Standard templates for these certificates are available on Workspace (these are not available yet).

7. Staff members who undertake teaching as part of UNMC Executive Education, for which they receive payment, must declare this as external consultancy, using the standard procedure.

8. The maximum amount that can be paid to UNMC staff for Executive Education is RM 2400 per day. This is the maximum per day for ALL training, not the maximum per person. The maximum cost should be pro-rata so, for a half day training course, the total payable is RM 1200. For the purposes of pro-rata calculation, a day should

be considered as eight contact hours. Preparation, assessment etc. is considered to be included in this amount. That is, the maximum of RM 2400 per day is for contact hours, with no other payments being made.

9. If external personnel are employed as trainers, you should endeavour to limit their pay to a maximum of RM 400 per contact hour (additional payments should not be made for preparation, assessment etc.). The maximum of RM 400 per hour is considered as an upper limit for high value courses, with lesser value courses being paid at a reduced rate. If it is not possible to secure the required services at the maximum rate, permission should be obtained from the Dean by providing a justification.

   Alternatively an honorarium can be made, up to a maximum of RM 1000 per day. This maximum should be pro-rata. For a half day course, for example, the maximum will be RM 500 per day. For the purposes of pro-rata calculation, a day should be considered as eight contact hours

10. Where there is a third party involvement in the offering of Executive Education programmes, the work carried out by the 3rd party and the payment details must be clearly documented, and signed off by the Dean. If the risk is being borne by the University and there is third party involvement, it is expected that the 3rd party will be paid a proportion of course fees and not a fixed amount.

11. Administrative staff cannot be paid a fee for Executive Education training, but they are entitled to time off in lieu, or overtime payments, if they are required to work outside of their usual office hours.

12. All UNMC staff (excluding consultancy) should be paid through the payroll system, so that we can monitor payments, ensure tax is paid etc.

13. A budget should be prepared for each event. This, along with a sign off form, should be presented to the Dean for authorisation. The authorisation and the budget spread sheet is available from Workspace.

14. Once the Dean has signed off the event, a copy (form and budget) should be sent to the Research Support Office so that they are able to capture each event that we run for various reporting purposes.

15. An overhead is payable to UNMC for the use of their facilities (e.g. administrative staff, photocopying, etc.). This is non-negotiable and fixed at 20%.

16. Any other surplus can be used by the School/Department and/or Faculty, at the discretion of the Dean.

17. At the end of each project, an actual budget should be prepared and be submitted to the Research Support Office. The final budget should be accompanied by a sign of sheet and (copies of) receipts supporting all expenditure. The documents are available on Workspace.

18. Any contravention of the above procedures will be treated as gross misconduct.

7. Non-Disclosure Agreements

7.1.Non-Disclosure Agreements required by our partners

One of our partners may request that we sign a Non-Disclosure Agreement (NDA). The document will normally be provided by the other party.

Unless otherwise requested, the Vice-Provost (Research and Knowledge Transfer) should sign the NDA on behalf of UNMC. This is done in the expectation that everybody at UNMC is bound by the NDA, although it is assumed that only those working with the company would actually have access to the data/information that is the subject of the NDA.

The relevant Director of Study and Faculty Dean should also be made aware of the NDA.

A copy of the signed NDA will be held centrally.

In exceptional circumstances the NDA can be signed by the lead project investigator, or the Provost, if the other party requests this, but a copy must still be stored centrally so that UNMC is aware of the NDAs currently in force.

If the NDA is to be signed by the lead project investigator, it must still be shown to the Vice Provost (Research and Knowledge Transfer), before it is signed, to ensure that the interests of UNMC are not being compromised.

7.1.Non-Disclosure Agreements initiated by UNMC

In some circumstances, we may request another party to sign an NDA with us. A draft NDA is available on Workspace:

https://workspace.nottingham.ac.uk/display/RKTMY/Non-Disclosure+Agreement

The NDA should be completed by the lead project investigator and then passed to the Vice Provost (Research and Knowledge Transfer) who will sign the NDA on behalf of UNMC.

A copy should also be made available to the relevant Director of Study and Faculty Dean.

A copy of the NDA will be stored centrally.

8. UNMC Research and Knowledge Transfer Blog

We have set up a blog to disseminate and inform about items that might be of interest to UNMC staff, as well as the wider community.

The URL is: http://blogs.nottingham.ac.uk/malaysiaknowledgetransfer/

All staff are encouraged to register so that they can write posts (they will be moderated), and aslo comment on posts that are made on the blog.

9. Memorandum of Understanding (MOU) and Agreement (MOA)

9.1.MOU and MOA in the Malaysian Context

The Quality Manual provides guidance on developing collaborative partnerships. Please see:

http://www.nottingham.ac.uk/academicservices/qualitymanual/collaborativeprovision/procedure.aspx

The collaborative partnerships addressed by the quality manual are largely aimed at teaching partnerships. Although research projects are mentioned, these are not the primary focus.

If you are specifically interested in MOU/MOA for teaching activity (which is outside the scope of this handbook), then you should follow the quality manual procedures in the first instance.

Due to the culture within Malaysia, we tend to sign more MOUs and MOAs aimed at research than the UK campus and this section of the handbook addresses the procedures to be followed for research focussed MOUs and MOAs at UNMC.

9.2.Definitions

Memorandum of Understanding

The definition of a MOU is as follows (based on the Quality Manual).

> *"A MOU records the intention of the University of Nottingham and a partner institution, or company, to strengthen ties between the two partners with a view to collaboration between them. The collaboration may involve a teaching partnership, a research project, an exchange partnership or all/any of these."*
>
> *"While an MOU is not a formal or legal agreement to deliver anything specific it often has several purposes and benefits. As an MOU should be signed by the CEO/Provost of UNMC , it acts as a signal of university management support for the collaboration and may inform strategy. It will be published on the MOU database on the internal web pages providing internal communication about the link. It will often be associated with a formal meeting of senior staff at universities at the beginning of partnerships which is useful for publicity purposes. It is also sometimes required by funding bodies as a proof of the intention to collaborate as a partner."*

Memorandum of Agreement

A MOA is an agreement to deliver on some agreed piece of work and the MOA should define the deliverables, the timescales, the payment, the IP status etc.

A MOA could have legal repercussions and it is important that it is given due consideration by all relevant members of the university. This may take some time and allowing enough time should be planned for when starting initial discussions.

9.3.Current agreements

The university maintains a database of current agreements, which can be seen at:

http://www.nottingham.ac.uk/international/_staff/partnerships/existing/index.php

In addition, UNMC also maintains its own database of agreements relevant to UNMC which can be seen at:

Note: We are currently collecting all the MOUs/MOAs and will make them available as soon as we can.

9.4.Procedure for Memorandum of Understanding (MOU)

The procedures to be followed for a MOU are as follows.

1. The lead academic should draft the MOU, together with the partner. We provide a sample MOU that can be used for this purpose, see:

   https://workspace.nottingham.ac.uk/display/RKTMY/Memorandum+of+Agreements+and+Understanding

   If the partner would like to use their own template, this is not a problem, but the academic should ensure that all relevant points are covered
2. The lead academic should complete the MOU coversheet, available from Workspace: https://workspace.nottingham.ac.uk/display/RKTMY/Guidelines
3. The lead academic should pass the cover sheet and the MOU to the relevant Director of Study, who should authorise that they are happy with the MOU and that they have also consulted with the relevant Head of School/Department (in the UK) and that they are also agreeable to the MOU proceeding. If the lead academic and the Director of Study is the same person, the Director of Study should still sign the MOU indicating that the Head of School/Department has been consulted.
4. If there are queries/questions these, in the first instance, should be referred to your Faculty Research Committee. If these cannot be answered, then the queries/questions should be raised at UNMC's Research Strategy Committee, via the faculty representative.
5. The MOU, together with the signed coversheet, should be passed to the Research Support Office, who will circulate to the Research Strategy Committee for comment and amendment.
6. Comments will be fed back to the lead academic (copying the Director of Study), who will amend as necessary.
7. Points 4 thru 6 will be reiterated as necessary.
8. Once all agree that the MOU is complete, the lead academic, the Director of Study and the chair of the Research Strategy Committee will sign off the MOU. A copy of the final sign off sheet and the (unsigned) MOU will be filed by the Research Support Office.
9. The MOU can now be signed by UNMC and the partner.
10. A signed copy will be retained on file, put on the UNMC web site and a copy will also be passed to the UK Partnership Team.

9.5.Procedures for Memorandum of Agreement (MOA)

The procedures to be followed for a MOA are as follows.

1. The lead academic should draft the MOA, together with the partner. We provide a sample MOA that can be used for this purpose, see:

   https://workspace.nottingham.ac.uk/display/RKTMY/Memorandum+of+Agreements+and+Understanding

2. The lead academic should complete the MOA coversheet, available from Workspace: https://workspace.nottingham.ac.uk/display/RKTMY/Guidelines

3. The lead academic should pass the cover sheet and the MOA to the relevant Director of Study, who should authorise that they are happy with the MOA and that they have also consulted with the relevant Head of School/Department and they also agreeable to the MOA proceeding. If the lead academic and the Director of Study is the same person, the Director of Study should still sign the MOA indicating that the Head of School/Department has been consulted.
4. If there are queries/questions these, in the first instance, should be referred to your Faculty Research Committee. If these cannot be answered, then the queries/questions should be raised at UNMC's Research Strategy Committee, via the faculty representative.
5. The MOA, together with the signed coversheet, should be passed to the Research Support Office, who will circulate to the Research Strategy Committee and the UK Partnerships Team for comment and amendment.
6. Comments will be fed back to the lead academic (copying the Director of Study), who will amend as necessary.
7. Points 4 thru 6 will be reiterated as necessary.
8. Once all agree that the MOA is complete, the lead academic, the Director of Study, the Partnerships team and the chair of the Research Strategy Committee will sign off the MOA. A copy of the final sign off sheet and the (unsigned) MOA will be filed by Vian Cheh Thian Teh.
9. The MOA can now be signed by UNMC and the partner.
10. A signed copy will be retained on file, put on the UNMC web site and a copy will also be passed to the UK Partnership Team.

9.6.Procedures applicable to both MOAs and MOUs

11. As a general principle MOUs/MOAs can be signed by the Dean (after RSC approval). Of course, there will be cases where a Vice-Provost or the Provost should sign but the majority should be signed by the Dean and/or the Associate Dean of Research (or equivalent).
12. The faculty that is raising the MOU/MOA should organize the signing event (if one is required), unless, in rare cases, it is seen as such a high profile event that there needs to be some central involvement.
13. There are currently no central funds to pay for these events and they should be funded through the School/Faculty.

10. Staff PhD's

10.1. Introduction

Members of academic staff may register for a PhD whilst working at the university. There are two ways to carry out your PhD research, both being covered by the quality manual, see

http://www.nottingham.ac.uk/academicservices/qualitymanual/studyregulations/phd-and-mphil-regulations.aspx

In addition, the following information is provided.

10.2. PhD by Supervision

This is the route that is followed by non-members of staff and you would be subject to the same rules that apply to any other PhD student. It is likely that you would carry out your PhD as a part time student.

As the staff member is registering for a PhD, fees are payable. There is no automatic fee waiver, scholarship or reduced fees and you should discuss with your Director of Study and the Faculty Dean any options around fees.

10.3. PhD by Publication

The quality manual outlines the requirements and conditions for staff members who wish to obtain their PhD by publication. There is also an additional document (linked from quality manual) which provides a lot more detail.

11. Sabbaticals

1. Before the start of each academic year each School/Department, if they are able to support sabbatical leave, will announce a call for proposals. The School reserves the right not to issue such a call.
2. A sabbatical leave is not an entitlement. It must be applied for, and approved, and must lead to concrete outcomes. Future sabbatical applications have the right to consider what was achieved on previous sabbatical periods.
3. Sabbatical leave cannot be applied for to complete a PhD. It would also be unusual for staff without a PhD to be awarded a sabbatical period.
4. It would be expected that the call for proposals would be issued in early May so that this process could be completed by the end of July. This is to facilitate the planning for teaching and administrative workloads for the coming academic year. The exact timing is up to individual Schools, depending on their planning requirements.
5. Normally, before a person can apply for sabbatical they must have been employed by UNMC for at least five years, and not received a sabbatical period in the last three years. However, in exceptional circumstances, this may be relaxed by the School.
6. Anybody who wishes to apply for a sabbatical should submit a short proposal (maximum of two sides of A4) to the relevant School/Department, which will be forwarded to the relevant faculty research committee. The proposal should contain a set of measureable objectives.
7. When applying for sabbatical, applications for one or two semesters will be considered, as well as a complete academic year (September to August (inclusive)). In this context, the semesters can be considered to run from September to January (inclusive) and February to June (inclusive), although there may have to be a few days flexibility to accommodate teaching start/end dates. In addition, the period July to August (inclusive) may also be included as a *third* semester. The applicant must precisely define the period of sabbatical for which they are applying.
8. The faculty research committee will define whether the case for sabbatical leave can be supported and rank order the supported proposals by School/Department. These will be passed back to the School/Department who will decide which ones to support. Unless there is good reason, those not supported by the faculty research committee should not be awarded and the rank order should be followed. However, the School/Department may also take into account operational requirements for the coming academic year, so do not have to follow the exact rank ordering that was arrived at. It is up to the School/Department if they release the data leading to the decisions (e.g. whether a case was supported or not, and the rank order).
9. The faculty research committee will articulate the criteria by which the proposals are ranked but it is expected to include concrete outcomes such as writing (and submitting) grant proposals, writing (and submitting) high quality publications, developing collaborative links (both national/international and academic/industrial) and exploiting Intellectual Property.
10. Once the decisions have been made, the staff members who have been granted sabbatical leave should be reported to UNMC’s Research Strategy Committee. This will be communicated to the UNiM Board and other interested parties.
11. At the end of the sabbatical period, the person should submit a short report to the faculty research committee stating what they achieved, especially in relation to the objectives that they set.

12. Research Funding Opportunities

We maintain a list of current research funding opportunities on the UNMC web site. See:

http://www.nottingham.edu.my/Research/Fellowships/index.aspx

13. Writing and Submitting Grant Proposals

13.1. Introduction

This section is still under development as we plan to provide guidelines and procedures for as many funders as possible. However, we are able to provide general guidelines now.

13.2. Authority to Submit a Proposal

Research and Graduate Services (RGS) provide specific guidelines as to who is able to authorise the submission of a grant proposal. However, this is held on *Workspace* which UNMC does not have access to at the present time. Therefore, we present these specific guidelines for UNMC.

An individual researcher **does not** have the authority to submit a proposal, or be involved in a proposal where the research will be carried out in the name of UNMC and by a UNMC employee. This applies whether the funder is a government agency, a charity, an industrial partner, or any other body. When a proposal is submitted, the Vice-Provost (Research and Knowledge Transfer), or his/her nominee, must authorise the proposal on behalf of UNMC.

This is to ensure that the university is aware of all the implications of undertaking a specific research project. For example, is more space required, will it require laboratory facilities, how many people will be employed etc. In addition, the university has to ensure that the grant satisfies any grant conditions, that the costing has been done correctly, it is realistic and that the university is not carrying out research that is not cost effective or beneficial etc.

Until we have further refined our procedures, all grant proposals should be channelled through the Research and Knowledge Transfer support office but the proposal must have the prior approval of the Faculty Dean, which he/she might delegate to the faculty research committee.

Time must be allowed for the Research and Knowledge Transfer office to read the proposal and, for the proposal to be amended in light of any comments.

Any proposal must be submitted to the Research and Knowledge Transfer office at least seven **working days** before the deadline to submit.

14. Active Grants

It is the **responsibility of the lead investigator** to ensure that any grant conditions are adhered to. In particular, special attention should be paid to progression reporting and financial control of the grant.

14.1 Progression Reporting

Many (if not all) grant funders require the lead investigator to report the progress of the project on a regular basis. **It is the responsibility of the lead investigator to ensure that these reports are submitted on time and to an acceptable level.**

If progression reports are not submitted on time, the consequences can be severe. For example, the awarding institution may have to return the entire grant and given that some of the funds may have been spent (and are not recoverable) this could impose an unacceptable financial burden on the institution.

The institution will support the lead investigator in any way it can, but if the project has particularly heavy administrative requirements you should consider factoring this into the project budget. Not all funders allow for this but funders such as the European Union do, and virtually insist on it.

14.2 Financial Control of the grant

14.2.1 Responsibilities of the Lead Investigator

The lead investigator should ensure that the money is spent in line with the budget that was awarded by the awarding institution. Any funds spent, or expense claims submitted, should have been justified within the grant as a required item in order to carry out the research.

Spending funds that are not in line with the grant proposal, of the funding body guidelines, will be seen as gross misconduct.

The lead investigator should also ensure that the funds are spent in a timely manner and that there is not a surplus, or deficit, at the end of the grant period.

The institution will support the lead investigator in any way it can (for example, by providing financial data when required) but **the overall responsibility lies with the lead investigator.**

14.2.2 Responsibilities of the Signatory

The person authorising the expenditure should be satisfied that the funds are being spent appropriately. If they are in any doubt they should seek the advice of the Research Support Office (who can provide a copy of the grant proposal, seek advice from the funding body etc.), finance (to seek clarification with regard to their SOPs) or Information Services (who can provide guidelines on the purchase of equipment). Other departments at UNMC may be consulted as necessary.

14.3 Quarterly Checking

Every three months, Finance and the Research Support Office will take a sample of grants (perhaps biased by information received) and check the expenses of those grants. It may be possible to check expenditure on all active grants, if the level of activity is sufficiently low.

Any problems found will be discussed with the relevant Dean to decide on the best course of action.

15. Research Ethics

The Research Ethic procedures to be adopted for all UNMC employees are available in a separate document, on Workspace:

https://workspace.nottingham.ac.uk/display/RKTMY/Research+Ethics

16. Research Conduct

The university uses the following definition for research misconduct.

> "*Research misconduct means fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviations from accepted practice in carrying out research and from this Code of Practice. It includes failure to follow established protocols if this failure results in unreasonable risk or harm to humans, other vertebrates or the environment. It also includes assisting in misconduct by other researchers by collusion in, or concealment of, any of the actions listed above. It does not include honest error or honest differences in the design, execution, interpretation or judgement in evaluating research methods or results or misconduct (including gross misconduct) unrelated to the research process.*"

(Adapted from MRC Policy and Procedure for Inquiring into Allegations of Scientific Misconduct, December 1997)

University Workspace has specific guidelines on research ethics and conduct. These are available at:

http://www.nottingham.ac.uk/csc/academic-integrity/PhD/nottingham-research-code-of-conduct.php

17. Data Collection of Research Activity

It is important for the institution that we maintain an up-to-date register of our research activity. This data will be used for a variety of purposes, including reporting to organisations such as MOHE, monitoring and evaluating our activity by internal bodies such as the Research Strategy Committee, the Research and Knowledge Transfer Board etc.

We will attempt to collect this data as a matter of course but we are often reliant on members of staff keeping records (such as E-Staff profile) up to date and responding to requests for information in a timely manner.

18. E-Staff Profile

You should update your e-staff Profile on a regular basis. We would suggest monthly, or whenever you have a new publication. This is an important repository for the university as it not only feeds various web sites but it is also used to extract information for various returns, such as MyRA.

19. Bench Fees

We encourage visitors to the university if there is a benefit to them working with us. It should be recognised that visitors, especially long term visitors, do involve a cost to the institution. In some cases it might be appropriate to charge a bench fee. We offer no guidelines as to the amount we should charge (as it often depends of the funds available to the visitor) but you should take the following into account when considering whether bench fees should be charged.

- What are the benefits to the university?
- Are there real costs associated with the visitor visiting us (e.g. will a computer have to be provided, are there additional lab costs etc.)
- Does the visitor have a bench fee built into the grant that is funding them?

If a bench fee is charged the Faculty Dean and the Vice Provost (Research and Knowledge Transfer) will decide how to distribute the funds.

20. Conference, Workshop and Seminar Organisation

20.1. Use of UNMC Facilities

We encourage the organisation of conferences, workshops, seminars etc. These events raise our profile and enable people to visit the campus etc.

We note that the UK would not allow university rooms to be used for free (as it has to be channelled through the conference organisers) but, at UNMC we want to encourage these activities and so you are able to use our rooms free of charge. This policy may change in the future, but fair warning will be given. However, there are a number of caveats (these are regardless of whether you use the services of MyRIAD or not). The caveats are:

- If anybody who is employed at UNMC, or their friends/relatives, are profiting from the conference then rooms, AV equipment etc. would be charged for at commercial rates. Of course, any fees received by UNMC staff would also have to be declared as external work.
- If anybody else is being paid a fee then this would also mean that rooms, AV equipment etc. would be charged at commercial rates. This includes paying for ANY plenary speakers (and even workshop organisation, tutorial sessions etc.), as it is usual (if done at all) to pay expenses but not a fee for this type of activity. If there are exceptional circumstances (e.g. a very high profile speaker who normally charges a fee) then we can make a decision on a one off basis – but we see this as the exception rather than the norm.
- If there are any additional costs to UNMC that would not have been incurred if the conference (workshop, seminar etc.) were not to have taken place then those costs have to be reimbursed to UNMC, presumably being captured in the conference/workshop budget.
- UNMC has to be listed as a sponsor of the event as we will be making a significant contribution, which you would otherwise need to pay for (e.g. cost of hotel venue etc.)

20.2. Accounts

Any conferences, workshops or seminars which are organised by UNMC staff must maintain a set of accounts which should be available for inspection by UNMCs Research Strategy Committee and UNMCs Management Group at any time.

21. Carrying out External Work

The UNMC external work policy is covered in a separate document which is available in Workspace:

https://workspace.nottingham.ac.uk/display/RKTMY/External+Working+Policy

22. Services Rendered

Services rendered refers to allowing others to use equipment owned by the university for a fee.

The following procedures are based on those used in the UK but with changes to reflect the differences at UNMC, for example, we do not use the pFACT system to estimate costs.

- Prior approval must be sought for any work. The document submitted to the DoS/Dean should include all the information to enable them to make a decision. That is, it must include the service to be provided, the costs incurred (including technical staff), the amount to be charged and any details of payments to be made to university staff. A copy of the agreed project should be copied to the Vice-Provost (Research & Knowledge Transfer).
- Services rendered activity must demonstrate added value to the University's operations and be separately accounted for.
- All departmental and personal consultancy activity must comply with the policies outlined elsewhere in this handbook.
- All services rendered activity must be notified via the procedures for undertaking external work, if payment is to be received by an individual.
- Any work undertaken must be in addition to the workload allocation model, and undertaking the work should not impact on any staff's ability to fulfil their normal duties and responsibilities within their role.
- The Dean must have agreed to the inclusion of payments to staff members at the time of costing the project and seeking approval to obtaining permission to carry out the service.
- The project has to be priced on (at least) a full economic cost basis. That is, the university should recover the full cost of providing the service and should not provide a subsidised service.
- Payments to staff are made only out of a fraction the surplus on the project, ensuring that there is no disadvantage to the University from a financial basis, where surplus is defined as income less the full economic costs of the project.
- Approval of payments should not be provided until all of the income has been received from the customer on the project, or the customer has accepted and paid for the relevant project deliverable.
- It is important that all attributable costs of the project, including academic and technical staff time, are included so that a true understanding of the project costs is obtained.

23. Adjunct and Honorary Appointments

23.1. Adjunct appointments

Academics are occasionally approached to take up an *adjunct position* at another institution. The term/title used may vary but we use the term adjunct position to refer to any appointment that is affiliated with another academic institution, whether you receive a financial remuneration or not.

We are generally in favour of such appointments as they reflect well on the individual and can lead to further collaboration.

However, we must ensure that your work with another institution does not affect your duties at UNMC, or raise a conflict of interest, or provide a benefit to the partner institution which UNMC be recognised for.

The type of issues we will take into account, when considering a request for an adjunct appointment, include the following. We note that this may not be a complete list as each situation will be different and we have the right to seek further information or clarification.

- Is any payment to be made to the individual?
- How long is the appointment for?
- Will the appointment affect the work commitments to UNMC?
- What will the other institution expect from the adjunct position?
- What are the benefits to UNMC?
- Are there are disadvantages to UNMC (e.g. the affiliation is with a competitor university in some way)?
- Is the position being offered at a higher level than currently held by the individual? For example, is an Associate Professor being offered the position of Professor? This, potentially, could lead to confusion and misrepresentation and is generally discouraged.
- What is the policy on publishing papers and how will the affiliation(s) of the adjunct position be stated? Note that we expect any papers you write whilst employed at UNMC would have your affiliation with UNMC stated.

To seek permission to take up an adjunct position, you should follow the usual procedures for applying to carry out external work, ensuring that provide enough information to enable a decision to be made. We retain the right to seek clarification if we believe that we require more information.

23.2. Honorary Appointments

If you wish to make an honorary appointment, you should broadly follow the UK procedures which are defined by the Registrar's Department. The details are available at:

http://www.nottingham.ac.uk/registrar/registrars-office/honorary-appointments.aspx

More specifically, you should follow the guidelines below for appointments at UNMC.

1) A nomination is made for an honorary position at UNMC. It will follow the UK format/guidelines (e.g. specifying a length of tenure, not offering a higher position than the person already holds etc.)
2) If the nomination is from an academic unit, then approval must be secured from the UK Head of School (this would be the norm, but not always)
3) The proposal, is presented via UNMC's Management Group to the Registrar for approval
4) If this approval is given, the offer is made to the honorary appointee by the Provost's Office at UNMC using standard letter
5) If the post is accepted, the UNiM Board will be informed via the operations report

24. MyRIAD

This section is not yet complete.

25. Open Access Publishing

25.1. Introduction

Open Access Publishing is an increasingly common model for publishing the results of scientific research. In an Open Access model, you pay a fee for your paper to be published and then it is freely available to download. This has advantages as your work is more freely available and will possibly get cited more. The disadvantage is that you have to have to pay for the publication of the article.

Journals using an open access model still use a peer review process to judge the quality of the paper.

Some journals give you the choice. That is, an open access model or the traditional model (where readers have to pay for the article either by an institutional, or personal subscription, or by a one off payment).

There is also a model which enables you to publish in the *conventional* way (i.e. you do not pay but the readers, or institutional subscribers do) but the publishers still allow you to make your article available on your web pages and/or via an institutional repository.

25.2. Publishing using an Open Access model

You should ensure that the open access journal that you are submitting to is the most suitable outlet for your work. You should not choose an open access journal just because you perceive that it is easier to publish in (which may not always be the case anyway).

Before you submit an article to an Open Access journal you must ensure that you have the funds to pay the fee that will eventually be charged. This fee may come from your research grant, for example, or there may be access to funds via a UK resource (see below).

UNMC does not have a budget (either at faculty level or centrally) to support Open Access publishing.

To publish an Open Access articles you should use the following guidelines:

1. If you have Open Access funds available, you should only use it to publish in journals, not conferences.
2. You are strongly encouraged to only Open Access publish in journals that are listed on ISI or Scopus. This may seem restrictive but these are the only bibliographic databases that are recognised by MyRA, so UNMC are motivated to publish in these journals. To identify the journals that are listed in ISI/Scopus, you can use the following links.
    a. **ISI**: There are many ways to access the ISI list of journals but a good starting place is the Journal Master List

       http://ip-science.thomsonreuters.com/mjl/
    b. **Scopus**:

       https://www.scopus.com/source/browse.url
3. You should Open Access publish using the *Green* model, rather the *Gold* model. The Green model provides open access to the publication through your web page, or the institutional repository (with the publisher's

agreement). In the Gold model, you pay a fee to the publisher and they will make the paper available through the publisher's web site.

4. To check the Open Access policy of the journal you are considering, you should check if the publisher/journal allows you to publish a copy of the paper on your web site and/or in the institutional repository.

   You can, of course, check the editorial policy of the journal you are submitting to but a very useful service is provided by Sherpa/Romeo

   http://www.sherpa.ac.uk/romeo/

   The service enables you to search for a journal and to see what its editorial policy is. The items of particular interest are:

   - Author's Post-print:
   - Publisher's Version/PDF:

   If either of these are allowed, you **DO NOT** have to pay an Open Access fee as you can post a version of the paper on your university web site, or in the institutional repository.

   This (the Green Model) is UNMC's preferred method of Open Access publishing.

5. If the editorial policy only allows you to publish your article via a paid Open Access route, refer to

   https://workspace.nottingham.ac.uk/display/OAP/Meeting+the+Costs+of+Open+Access

   which has a section on *Accessing Funding*. This is the UK policy and you might be able to access funds through this route, but the amount of funding available to UNMC and the policy may change over time so we cannot provide any specific guidelines. However, as stated above you should ensure you have funding in place as early as possible.

More Information

1. **Information Services**: Open Access pages

   a. http://www.nottingham.ac.uk/is/finding/openaccess.aspx

2. **WorkSpace**: Meeting the cost of Open Access Research (this requires you to login)

   b. https://workspace.nottingham.ac.uk/display/OAP/Meeting+the+Costs+of+Open+Access

26. Where to Publish

It is important that we consistently demonstrate that we are able to publish in the leading journals, as well as producing other high quality outlets such as books, monographs etc. Where you publish depends a lot on your discipline, but it is important we target the highest possible outlet for a given piece of research.

Of course, you should be realistic about where you send your work, but please consider the following when deciding where to submit your work.

- Do not just send something to a conference to get it in print when a little more work may make it suitable for a journal.
- Do not choose a lower quality journal as you expect the paper to be published. In the first instance aim a little higher. If it does not make it, there is always another journal and you will have received valuable feedback which you can incorporate into the version of the paper.
- Encourage your research students to aim for the highest outlet possible.
- Remember that anything you publish will be in the archived scientific literature for ever and you will always be associated with it. It is probably worth a little bit of effort to publish in the most prestigious outlet possible.
- Your CV, along with promotion prospects, generally advancing your career, being recognised by the international community etc. largely rely on your publication record so it is worth making that aspect of your CV as strong as possible.
- If you are unsure which outlets to target, please seek advice both from colleagues at UNMC, as well as from colleagues on other campuses.

We are considering drawing up a list of the most suitable publication outlets for each School/Faculty, but we are still discussing this as an option.

27. Inventions and Patents

UNMC's guidelines for inventions and patents are based on those in the university staff handbook, with slight changes to account for the Malaysian campus. See:

http://www.nottingham.ac.uk/hr/guidesandsupport/universitycodesofpracticeandrules/inventionsandpatents.aspx

27.1. Inventions by members of staff not involving an outside body

When members of staff make an invention which, in their opinion, it is desirable to protect by a patent, they shall first inform their Director of Study and Dean and then, either through their Director of Study, or independently, inform the Vice-Provost (Research and Knowledge Transfer) of their wish to apply for a patent. They shall provide sufficient information for the Vice-Provost:

1. To authorise the inventors to file an immediate application for a patent, in which event the Vice-Provost may stipulate that such action is without prejudice to further discussions on the subsequent ownership and exploitation of the patent; or
2. To refer the matter to a Patents Committee, which might wish to take expert advice from the Director of the Research Support & Commercialisation Office or from Patent Agents, professional advisers or any other organisation, to enable it to decide, as expeditiously as possible, whether to recommend to the Vice-Provost:
    a) That an application for a patent be filed immediately by the inventors in consultation with the University, without prejudice to further discussions on the subsequent ownership and exploitation of the patent; or
    b) To support the project to the stage of a grant of a patent by full or partial support by the University, in which case the patent should be taken out jointly in the names of the University and the individuals concerned; or
    c) To authorise the inventors to assume responsibility for exploiting their own findings and ideas (with a commensurate share in the benefits); or
    d) To invite the British Technology Group (BTG) or other such Agent or any other organisation to consider the possible prosecution or exploitation of the patent; or
    e) To set up a limited company for the exploitation of industrial property rights; or
    f) To waive the University's interest, if any, in the invention, thereby leaving the individuals, as free agents, to take any action they may wish in respect of patenting. In reaching its decision, the Patents Committee shall consider any evidence submitted in writing or, if preferred, in person by the individuals and by their Director of Studies. If the Committee's recommendations to the Vice-Provost differ from the expressed wishes of the individuals, any difference shall be specified in the recommendation to the Vice-Provost, together with the arguments in support of the proposed course of action. The Committee shall at the same time inform the individuals and their Director of Studies of its decision.

Any costs incurred by the University in supporting the application, including patent fees, development costs and the purchase of technical advice, shall be the first charge of any income arising. The division of the remaining revenue shall be determined by reference to the scale approved by Council. In the case of an invention made in special circumstances, the Council of the University, by resolution and with the agreement of the inventors, may vary the terms of the division of revenue between the University and the inventors.

27.2. Inventions involving the University, members of staff and any outside body

The terms of contract governing the support given by an outside body must be approved by the University and shall include provisions relating to:

i. The patenting, protection and exploitation of inventions arising therefrom; and
ii. The use and exploitation of existing Patents and Intellectual Property Rights whenever appropriate.

Various Government Agencies require the exploitation of any inventions to be the subject of an agreement, usually in a standard form between the University, the members of staff and the sponsoring body. The conditions, which apply to industrially supported work, are normally the subject of discussion and contractual agreement between University and the sponsor.

When members of staff make an invention, which, in their opinion or that of the sponsoring body, it is desirable to protect by a patent, they shall first inform their Director of Study and Dean and then, either through their Director of Study or independently, inform the Vice-Provost (Research and Knowledge Transfer) of the need to apply for a patent. If agreement is not reached with the Vice-Provost on how best to proceed, they shall provide sufficient information for the Vice-Provost to refer the matter, if necessary, to the Patents Committee. This Committee, after seeking appropriate advice from the Director of the Research Support & Commercialisation Office or professional advisers, shall then, if appropriate negotiate through a duly authorised University officer with the relevant outside bodies concerning the prosecution of a patent. Whenever appropriate, the fullest opportunity will be given to the inventors to participate in the exploitation of their patented invention.

The division of any revenue, which results, shall be determined by reference to the scale approved by Council but any costs borne by the University shall be a prior claim on any proceeds. In the case of an invention made in special circumstances, the Council of the University by resolution and with the agreement of the inventors may vary the terms of the division of revenue between the University and the inventors.

27.3. Composition of the Patents Committee

- Vice-Provost (Research and Knowledge Transfer) (Chairman)
- Members of the UNMC Research Strategy Committee

The patents committee may call upon other members of the university, and beyond, to advise as and when necessary. If a member of the Research Strategy Committee is applying for patent, they will not sit on the patents committee when the patent is being discussed.

27.4. Royalties

The distribution of royalties arising from exploitation of intellectual property rights is as follows:

The first RM 125,000 of the aggregate net revenue shall be apportioned:

- 50% to the Inventor(s)
- 30% to the Inventor(s) Department/School(s)
- 20% to the central funds

Thereafter, the aggregate net revenue shall be apportioned:

- 40% to the Inventor(s)
- 20% to the Inventor(s) Department/School(s)
- 40% to the central funds.

28. Research Supervision

28.1. UNMC Masters and PhD Students

The procedures in the UK Quality Manual should be adopted for the supervision of Masters and PhD students.

28.2. Appointment of External Examiners

The procedures outlined by the UK for appointing external examiners should be followed. The only exception being that the Dean of the relevant faculty should sign off the appointment before it is passed to the Head of School as he/she is the budget holder and is responsible for the travel, accommodation and subsistence costs.

28.3. External Supervision

You may be invited to supervise PhD students registered at another institution. The following are the procedures that must be followed, as well as some other considerations.

- You must get permission from UNMC to carry out this work. You should follow the procedures to request permission to carry out external work.
- The details of the nature of the supervision should be agreed in writing with the external institution and a copy of this letter must be filed with your application to carry out the external supervision.
- Some institutions may provide payment for this work. If this is the case, this can be treated as private income, but must be agreed using the external work procedures.
- If the student will spend time at UNMC (other than for meetings), we should explore charging a bench fee. This is particularly important if we are providing a desk, computer etc., and not charging fees.
- If there are other research expenses, such as laboratory equipment, then this should be charged for at the normal rates.
- Students, not registered at UNMC, will not be able to access our library as they will not be issued with a student card. In addition, they cannot have access to our online library (e.g. electronic journal subscriptions) as this would violate the terms of our agreement with the publishers.
- Students not registered at UNMC cannot be awarded a degree from the University of Nottingham and our logo, or any other representation, cannot be put on their degree certificate from the awarding institution.
- Any papers written by the PhD student (where you have made a scientific contribution) should include you as an author and your affiliation with UNMC must be stated.

29. Intellectual Property

29.1. Staff

Any Intellectual Property arising whilst you are employed by the University (whether during working hours or not) belongs to the University, unless the university specifies in writing that it a) does not wish to exploit that IP and b) it is handing over the IP to you.

No member of staff has the authority to give away the university's IP, other than the CEO/Provost of UNMC, which he/she is able to do on behalf of the UNiM board. If this is done it will be formally reported at the board meeting.

If you wish to exploit any IP held by the University you should consult with, in the first instance, your Director of Study and your Dean. You might also wish to consult the Inventions/Patents section of this handbook (see section 27) and also talk to a member of staff from MyRIAD should you wish to set up a spin-out company (see the MyRIAD section).

29.2. Students

Student IP is different to staff IP, in that the university does not own IP generated by students. However, there is often confusion on the part of the student in that they believe that they own the IP to any project that they have worked on.

If a staff member had the initial idea for a project (whether that is a final year undergraduate project, a masters dissertation of a PhD thesis), or had some input into that project, then the staff member (and therefore the university) would have some claim on the IP; even if that idea only took two minutes to discuss and the student(s) then spent the next *n* years/months working on it.

There are three courses of action open to students/staff.

1. The staff member writes a letter to the students that they have no claim on the IP as it was totally generated by the student(s). A copy of this letter should be sent to the Director of Study, their Dean and the Vice-Provost (Research and Knowledge Transfer). Note, you are only able to say that you did not generate the IP. A staff member cannot sign away the university's IP.
2. If the staff member did generate some IP but does not wish to exploit it (and the student(s) do), then the matter should be referred to the Vice-Provost (Research and Knowledge Transfer), copying their Director of Study and their Dean. They should state the nature of the IP, why they do not wish to exploit it and what the wishes of the student are. The Vice-Provost (Research and Knowledge Transfer), in consultation with relevant parties, will decide which course of action to take. This might (unusually) include recommending to the CEO/Vice-Provost that the IP is handed over to the student(s) for exploitation, with no further interest by the university. More often, the Vice-Provost (Research and Knowledge Transfer) will come to some agreement with the student(s) so that the IP owned by the university suitably compensated.
3. If the staff member wishes to exploit the IP, along with the student(s), this should be done following the normal procedures.

30. Confidentiality

We refer you to the staff handbook with regard to what we expect with regard to confidentiality when employed by the university, and also after your employment has finished.

Please refer to:

http://www.nottingham.ac.uk/hr/guidesandsupport/youremploymentattheuniversity/confidentiality.aspx

31. Grievance Procedure

If you have any concerns or questions about the material in this handbook it should firstly be raised with your line manager, who may refer and seek advice from others at UNMC, the University and Boustead Holdings.

If this does not resolve the issue then the normal grievance procedures should be followed.