

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

Circulation: All UNMC Staff (this document should not be circulated outside of UNMC)

Version: 1.03

Date: 04 Apr 2012

Status: Final

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

Table of Contents

| | |
|---|----|
| 1. Introduction..... | 4 |
| 2. Change Control Record..... | 5 |
| 3. Glossary | 6 |
| 4. Staff Handbook, University Quality Manual and Workspace..... | 8 |
| 5. Research Calendar | 9 |
| 6. Non-Disclosure Agreements..... | 12 |
| 7. Memorandum of Understanding (MOU) and Agreement (MOA)..... | 13 |
| 8. Staff PhD's..... | 17 |
| 9. Sabbaticals..... | 18 |
| 10. Research Funding Opportunities | 19 |
| 11. Writing and Submitting Grant Proposals | 20 |
| 12. Active Grants..... | 21 |
| 13. Research Ethics | 22 |
| 14. Research Conduct | 23 |
| 15. Data Collection of Research Activity..... | 24 |
| 16. E-Staff Profile | 25 |
| 17. Bench Fees | 26 |
| 18. Conference, Workshop and Seminar Organisation | 27 |
| 19. Carrying out External Work | 28 |
| 20. Services Rendered..... | 29 |
| 21. Adjunct and Honorary Appointments..... | 30 |
| 22. MyRIAD | 31 |
| 23. Open Access Publishing | 32 |
| 24. Where to Publish | 33 |
| 25. Inventions and Patents | 34 |
| 26. Research Supervision | 37 |
| 27. Intellectual Property | 38 |
| 28. Confidentiality..... | 39 |
| 29. Grievance Procedure | 40 |
| 30. Appendix A: MOU Cover Sheet..... | 41 |
| 31. Appendix B: MOA Cover Sheet | 43 |

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.

Note: This document will be made available on-line and once we have the URL, the handbook will be updated.

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 |

3. Glossary

| | |
|--------|--|
| 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 |
| MyRA | Malaysian Research Assessment |
| MyRIAD | Malaysia Research Innovation and Development. This is the company known formally as <i>Nottingham MyRIAD Solutions Sdn Bhd</i> . |
| 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 |

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 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. Its purpose is to

*“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/academic-services/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

Workspace is a key university resource and information depository and a lot of information is available via this resource. However, workspace is not available to the international campuses at the present time so we have made key documents available, where appropriate through the UNMC web site.

5. Research Calendar

Throughout the year UNMC is committed to carrying out a number of key tasks for a variety of reasons. The two main 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, which will be updated as much 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:** This data we will collect at this time is still 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. Non-Disclosure Agreements

6.1. 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.

6.1. Non-Disclosure Agreements initiated by UNMC

In some circumstances, we may request another party to sign an NDA with us. A draft NDA is will be available soon (**Note:** URL to be inserted when available). This can be used as a template, although it is expected that it will have to be changed.

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.

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

7.1.MOU and MOA in the Malaysian Context

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

<http://www.nottingham.ac.uk/academicsservices/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.

7.2.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.

7.3. 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.

7.4. 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 template that can be used for this purpose, see:

Note: The URL will be made available, once we have these documents on a web site.

If the partner would like to use their own template, this is not problematic, but the academic should ensure that all the points on our template are also covered.

2. The lead academic should complete the MOU coversheet (see appendix A). Downloadable (and editable) versions are also available from:

Note: The URL will be made available, once we have these documents on a web site.

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. The MOU, together with the signed coversheet, should be passed to Vian Cheh Thian Teh, who will circulate to the Research Strategy Committee for comment and amendment.
 5. Comments will be fed back to the lead academic (copying the Director of Study), who will amend as necessary.
 6. Points 4 and 5 will be reiterated as necessary.
 7. 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 Vian Cheh Thian Teh.
 8. The MOU can now be signed by the Provost/CEO of UNMC and the partner.
 9. 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.

7.5.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 template that can be used for this purpose, see:

Note: The URL will be made available, once we have these documents on a web site.

2. If the partner would like to use their own template, this is not problematic, but the academic should ensure that all the points on our template are also covered.
3. The lead academic should complete the MOA coversheet (see appendix B). Downloadable (and editable) versions are also available from:

Note: The URL will be made available, once we have these documents on a web site.

4. 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.
5. The MOA, together with the signed coversheet, should be passed to Vian Cheh Thian Teh, 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 5 and 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 the CEO/Provost of 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.

8. Staff PhD's

8.1.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.

8.2.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.

8.3.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.

9. Sabbaticals

At present, UNMC do not have any formalised procedures for sabbaticals. Requests for a sabbatical period will be considered on a case by case basis taking into account the benefit to the individual and to the university and also resource implications.

10. 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>

11. Writing and Submitting Grant Proposals

11.1. 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.

11.2. 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.

12. 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.

12.1. 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.

12.1. Financial Control of the grant

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.

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.**

13. Research Ethics

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

Note: The URL will be made available, once we have these documents on a web site.

University Workspace also has specific guidelines on research ethics and conduct. Not all UNMC employees have access to workspace, so we have made the key document available from:

Note: The URL will be made available, once we have these documents on a web site.

14. 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. Not all UNMC employees have access to workspace, so we have made the key document available from:

URL needed

15. 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 of members of staff keeping records (such as E-Staff profile) up to date and responding to requests for information in a timely manner.

16. 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.

17. 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. On 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.

18. Conference, Workshop and Seminar Organisation

18.1. Use of UNMC Facilities

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

18.2. 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.

19. Carrying out External Work

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

Note: The URL will be made available, once we have these documents on a web site.

20. 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.

21. Adjunct and Honorary Appointments

21.1. 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 any 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 you 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.

21.2. Honorary Appointments

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

<http://www.nottingham.ac.uk/registrar/special-appointments/>

22. MyRIAD

The guidelines for MyRIAD are in a separate handbook, which is available from:

Note: The MyRIAD handbook is currently under development and will be made available as soon as it is complete.

23. Open Access Publishing

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 the funds 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.

If you want to publish via an open access route you must ensure that you have the available funds **BEFORE** you submit the article for peer review. This means either having a research grant that allows you to use the funds for open access publishing, or getting the agreement of a budget holder who is willing to pay for the article should it be accepted.

You should also 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 it is easier to publish in (which may not always be the case anyway).

24. 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.

25. 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>

25.1. 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.

25.2. 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.

25.3. 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.

25.4. 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.

26. Research Supervision

26.1. UNMC Masters and PhD Students

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

26.2. 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.

26.3. 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 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.

27. Intellectual Property

27.1. 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 and also talk to a MyRIAD should you wish to set up a spin-out company (see the MyRIAD section).

27.2. 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 or 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.

28. 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>

29. 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.

30. Appendix A: MOU Cover Sheet

This appendix contains the cover sheet that must accompany an MOU.

Downloadable (and editable) versions are available from:

Note: The URL will be made available, once we have these documents on a web site.

UNMC Research MOU Coversheet

This form should be completed by the lead academic, passed to their Director of Study (or countersigned by them again if they are the Director of Study) and then passed to Vian Cheh Thian The, together with the MOU, for comment/sign off by the Research Strategy Committee. Final sign off (after agreed amendments) has to be made by the lead academic, Director of Study and the chair of the UNMC Research Strategy Committee.

| | |
|--|--|
| Lead Academic: | |
| <i>Contact Details (email, telephone)</i> | |
| School/Department: | |
| Name of Partner: | |
| Contact Name at Partner: | |
| <i>Contact Details (address, email, telephone)</i> | |
| Proposed Start Date: | |
| Proposed End Date: | |

Rationale

Please provide a brief description of the Memorandum of Understanding

| |
|--|
| |
|--|

Initial Sign Off

| | | |
|---------------------------------------|---------------------------|-------|
| Lead Academic: | Signature: | Date: |
| Director of Study¹: | Signature: Print Name: | Date: |

Final Sign Off (after Research Strategy Committee has been consulted and agreed amendments have been carried out)

| | | |
|---|---------------------------|-------|
| Lead Academic: | Signature: | Date: |
| Director of Study¹: | Signature: Print Name: | Date: |
| Chair of UNMC Research Strategy Committee: | Signature: Print Name: | Date: |

¹: The signature of the Director of Study indicates that the Head of School/Department has been consulted and has agreed with the MOA

31. Appendix B: MOA Cover Sheet

This appendix contains the cover sheet that must accompany an MOA.

Downloadable (and editable) versions are available from:

Note: The URL will be made available, once we have these documents on a web site.

UNMC Research MOA Coversheet

This form should be completed by the lead academic, passed to their Director of Study (or countersigned by them again if they are the Director of Study) and then passed to Vian Cheh Thian The, together with the MOA, for comment/sign off by the Research Strategy Committee and the Partnerships Team. Final sign off (after agreed amendments) has to be made by the lead academic, Director of Study, the Partnerships Team and the chair of the Research Strategy Committee.

| | |
|--|--|
| Lead Academic: | |
| <i>Contact Details (email, telephone)</i> | |
| School/Department: | |
| Name of Partner: | |
| Contact Name at Partner: | |
| <i>Contact Details (address, email, telephone)</i> | |
| Proposed Start Date: | |
| Proposed End Date: | |

Rationale

Please provide a brief description of the Memorandum of Agreement

| |
|--|
| |
|--|

Initial Sign Off

| | | |
|---------------------------------------|---------------------------|-------|
| Lead Academic: | Signature: | Date: |
| Director of Study¹: | Signature: Print Name: | Date: |

Final Sign Off (after Research Strategy Committee has been consulted and agreed amendments have been carried out)

| | | |
|---|---------------------------|-------|
| Lead Academic: | Signature: | Date: |
| Director of Study¹: | Signature: Print Name: | Date: |
| Partnerships Team²: | Signature: Print Name: | Date: |
| Chair of UNMC Research Strategy Committee: | Signature: Print Name: | Date: |

¹: The signature of the Director of Study indicates that the Head of School/Department has been consulted and has agreed with the MOA

²: This sign off could be done electronically, with a copy of the email being filed as evidence.