UNIVERSITI MALAYSIA SARAWAK
Policy on Contract Research and Consultancy

1.0 Introduction

1.1 This Policy, and its supporting procedures provide the Universiti Malaysia Sarawak (UNIMAS) vide administrative guidelines for the management and conduct of contract research and sets out the terms and conditions under consultancy which UNIMAS is prepared to enter into contract for such activities.

1.2 This policy consists of parts which must abide to UNIMAS Research and Innovation Guidelines (Garis Panduan Penyelidikan dan Inovasi UNIMAS) and UNIMAS Holdings Financial Procedures and are therefore part of the contracts of employment for academic staff.

2.0 Scope

2.1 This policy shall apply to Research Contracts and Consultancy, entered into by UNIMAS for research or consultancy works carried out by the academic staff of the University, as defined using UNIMAS resources, services, facilities or equipment.

2.2 Other contractual work which includes activities undertaken on behalf of UNIMAS and covered elsewhere in contracts employment such as teaching and training do not fall under this policy.

3.0 Principle

3.1 The Deputy Vice Chancellor via Research, Innovation and Enterprise Centre (RIEC) is committed to implement this policy in a transparent manner and all decisions made with regard to the implementation and review of the policy will be disseminated to the relevant stakeholders.

4.0 Definition

4.1 Consultancy
Consultancy is defined as any work and matters related thereto organised and implemented by UNIMAS academic staff in their field of expertise, for clients in government or private sectors upon agreed scope of works, duration of works and financial return in the form of professional fees.

Contract research
Contract research is defined as a jointly initiated collaborative project between the UNIMAS and a client (industry, government, semi-government body, commercial organisation etc.) or may follow on from a specific request from an external agency for a research project to be undertaken.

4.2 Clients
Clients can be an individual, agency or institute who require professional services from UNIMAS academic staff.

4.3 Research, Innovation and Enterprise Centre

The Research, Innovation and Enterprise Centre (RIEC), a body formed by and within UNIMAS is an institution of higher learning and formed under the Universities and University Colleges Act 1971. RIEC shall act as the superintending centre to implement, facilitate and administer any consultancy, contract research, knowledge and technology transfer activities, Intellectual Property (IP) protection, commercialisation activities and other services concerning research and innovation.

4.4 UNIMAS Holdings Sdn Bhd

UNIMAS Holdings Sdn Bhd (UHSB) is a UNIMAS wholly own company. UHSB will be RIEC’s partner in administrating all contract research and facilitating the monitoring of consultancy projects. The main roles of UHSB partnership with RIEC are to perform the marketing roles, financial management roles, consultancy project monitoring and tender submissions.

5.0 Policy Statement

5.1 Contract Research

5.1.1 All UNIMAS researchers need to submit complete documents to DVC (R&I)/RIEC, containing research proposal, agreement/contract/letter of intent from the client and evidence of commitment from the fund provider.

5.1.2 All verified contract research will be given a Project ID by RIEC for progress monitoring whereas the financial account shall be managed by UHSB.

5.1.3 RIEC will monitor the progress of the research project and take all necessary action to ensure its compliance with the schedule and terms of reference approved by the fund provider.

5.2 Consultancy

5.2.1 All UNIMAS academic staff shall obtain written approval from the DVC R&I through RIEC before undertaking any consultancy works.

5.2.2 Approval to undertake consultancy work does not absolve UNIMAS academic staff from all liabilities, non-performance and professional liability in accordance with his/her professional practice.

5.2.3 All consultancy activities shall be registered with RIEC whereas the financial account shall be managed by UHSB.

5.2.4 UHSB is responsible in monitoring the progress and manage the accounts of the project. UHSB responsibilities include: Issuing invoices to the clients, provide advancement to the consultancy team
for fieldwork, make payment to the consultancy team, provide logistic supports, provide reimbursements and prepare the statement of account for the project.

5.2.5 UNIMAS can take actions against any academic staff who undertakes consultancy work without its approval, which is in violation of the Statutory Bodies (Discipline and Surcharge Act 2000 (“Act 605”).

6.0 Implementation Procedures

6.1 Contract Research

6.1.1 Client requested UNIMAS staff to conduct a research for their needs.

6.1.2 UNIMAS staff prepares the research proposal that includes an introduction, the need statement, clear objectives, the scope requested by the client, methodology, the deliverables, the work schedule, the research team organisation, its financial proposal and the terms of payments.

6.1.3 The proposal will be sent to the client by the researcher for their approval.

6.1.4 Upon agreement on the proposal, the Client and UNIMAS or UHSB (as the appointed financial manager) will sign a memorandum of agreement.

6.1.5 The research will commence according to the agreed terms of reference and schedule.

6.1.6 The research team will prepare a final report and submit to the Client and deposit a copy at RIEC.

6.1.7 RIEC or its appointed financial manager will oversee the financial management of the project which include issuing of invoice to the client, make payment to the researchers and reimburse payment made by the researchers during the course of the project and prepare the statement of account for the project.

6.2 Consultancy

6.2.1 UNIMAS staff / UHSB shall prepare proposal / tender document to bid for a consultancy work when invitation is received.

6.2.2 When the bid is successful, UHSB will prepare a contract agreement for the consultancy work.
6.2.3 UNIMAS staff/UHSB will submit the request to perform consultancy work to RIEC through their respective deans.

6.2.4 RIEC shall review the term of references and financial proposals before forwarding to DVC R&I for approval.

6.2.5 Once approved by DVC R&I, the consultancy work is registered under RIEC. UHSB then proceeds to appoint the consultants and project leader.

6.2.6 RIEC through automated online system shall facilitate the monitoring of progress reporting and UHSB will demand for the copy of progress report on the consultancy work from the consultant. The copy of endorsed progress report and end report by the client/fund provider shall be extended to RIEC.

6.2.7 UHSB will issue invoice to the clients, give advance money to the consulting team, make payment to the consultants, provide logistic supports, pay reimbursement and prepare the statement of account for the project.

6.2.8 UHSB will manage the budget as agreed by the clients.

6.3 A flow chart of contract research/consultancy work is presented in Appendix.

7.0 Payment

7.1 Client

All payment whatsoever from client or related parties shall be in the form of a cross cheque payable to UHSB or be deposited directly to the UHSB account.

7.2 Consultant (UNIMAS academic staff)

7.2.1 As outline in Statutory Bodies (Discipline and Surcharge Act 2000 ("Act 605"), UNIMAS academic staff are not permitted to receive any payment whatsoever directly from the client.

7.2.2 The terms of payment will follow UHSB's Financial stipulated procedures or agreement with Client.

7.3 Management Fees by UNIMAS

7.3.1 All contract research which accounts are managed by UHSB, are subjected to a management fees of 5%, shared between UHSB (2.5%) and UNIMAS R&D Enhancement Account (2.5%).

7.3.2 All consultancy works are subjected to management fee of:

7.3.2.1 UHSB is allowed to charge between 10-15% for the project with high return potential.

7.3.2.2 UHSB is allowed to charge 10% for government project.

7.3.2.3 The profit sharing of 70% UHSB (inclusive of 2.5% UNIMAS R&D Enhancement Account) and 30% Faculty from the management fee.
1. Submission of application for project registration

2. Documents are checked and project category is verified.
   2.1 Proceed to Step 5 for Research Grant and Industry Grant.
   2.2 Proceed to Step 3 for Consultancy.

3. Check for completion of application documents.
   3.1 If there is no consultancy contract, send to UHSB for UHSB’s next action.
   3.2 Proceed to Step 5 if the documents are complete.

4. Prepare consultancy documentation and re-submit to RIEC after completion of contract agreement.

5. Registration of Project ID in the iRIS

6. Project reporting reminders are generated through iRIS and sent to all consultants / Researchers.

7. Monitoring of Contract Research by RIEC. Monitoring of Consultancy by UHSB.

8. Acceptance of confirmation of final report from client / consultant / UHSB & update project status via iRIS.

RESPONSIBILITY

Deputy Vice Chancellor (R&I) / Senior Director (RIEC)

RIEC

UHSB

RIEC

RIEC / UHSB

General Manager
UHSB / Senior Director RIEC