

## UNIVERSITI TEKNOLOGI MALAYSIA

### Guideline on Research Groups Establishment, Merging & Dissolution

#### 1. OBJECTIVE

- 1.1. The main objective of this document is to provide guidance to both the proposer (of establishing a new Research Group, merging existing Research Groups and dissolving existing Research Group), and also to the reviewers (of the proposal) including Deputy Dean of Research, Associate Chair of Research and Chair of Research Alliance.
- 1.2. While the guideline is not part of the Research Entity Membership Policy, it serves as an important document to ensure the sustainability of the smallest research entity in the University, as well as to maintain the University's interest in pioneering certain niche areas deemed appropriate.
- 1.3. The reviewers shall advise and facilitate Research Groups Establishment, Merging & Dissolution within their jurisdiction and the guideline, if followed properly, shall provide valuable input for the reviewers to make an informed decision. The final decision, however, will be made during deliberation at the Research & Innovation Senate Standing Committee meeting.
- 1.4. UTM Research Entity Membership Policy is to be referred together with this guideline.

#### 2. BACKGROUND

- 2.1. UTM Research Entity Membership Policy (Polisi Keahlian Entiti Penyelidikan UTM) was approved on 17 June 2015 by the Senate and has since undergone one revision on 16 January 2017. Details of the policy can be access via under the Research Entities Membership section at <https://www.utm.my/office-dvc/ri/strategic/> ([Link](#))
- 2.2. With the current enforcement of the policy, specifically Clause 2.4, official Research Groups have to be properly recognized by the Research & Innovation Senate Standing Committee. Related workflow for establishing new Research Group, merging of two or more existing Research Group and dissolving existing Research Group can be found in the Research Entity (RG/CoE) section at <https://www.utm.my/office-dvc/ri/strategic/> ([Link](#))

#### 3. Establishment and Merging

- 3.1. For completed workflow please refer to Appendix 1. The workflow can also be found in the Research Entity (RG/CoE) section at <https://www.utm.my/office-dvc/ri/strategic/>
- 3.2. Working paper must be proposed according to Appendix 1 and must be tabled at the Research & Innovation Senate Standing Committee meeting. The template of the working paper can be accessed at <https://www.utm.my/office-dvc/ri/strategic/> ([Link](#) & [Link](#))

- 3.3. The paperwork must be signed by three parties before submitting to the Office of Deputy Vice Chancellor (Research & Innovation); namely the proposer, related Deputy Dean of Research and/or Associate Chair of Research and Chair of Research Alliance.
- 3.4. The responsibility of the proposer
  - 3.4.1. To prepare the paperwork considering elements including (but not limited to) the direction of the Research Group, the members of the Research Group, succession planning, field of expertise.
  - 3.4.2. The elements/subheadings of the template must be strictly followed. The secretariat reserves the right to reject any paperwork deemed incomplete.
  - 3.4.3. The new Research Group must also be justified based on the comparison with existing Research Groups in the University, in particular to reduce internal competition and to reduce research overlapping.
  - 3.4.4. The proposer must also ensure the proposed members of the Research Group are accounted for, especially the permission of the staff to join the proposed Research Group, if he/she is currently a member of another group.
  - 3.4.5. To revise the working paper after comments from Deputy Dean of Research and/or Associate Chair of Research and Chair of Research Alliance.
- 3.5. The responsibility of Deputy Dean of Research and/or Associate Chair of Research
  - 3.5.1. To advise on the current research direction of the Faculty/School and align the proposal accordingly.
  - 3.5.2. To facilitate discussion between the proposer, the Faculty/School and related Research Alliance to ensure a more synergistic approach in establishing a new entity, taking into consideration that the Research Alliance is the de-facto caretaker of the University's research direction.
  - 3.5.3. To review the implication especially (but not limited to) the comparison between the proposed Research Group with the existing ones. These could include:
    - 3.5.3.1. Assisting in determining a unique sub niche area to be championed by the proposed entity.
    - 3.5.3.2. Ensuring the proposed group has enough expertise to built the sub niche area
    - 3.5.3.3. Information such as publication track records, research grant histories and also sound action plan provided by the proposer could be used for such purpose
  - 3.5.4. Has the rights to reject any proposal at the Faculty/School level if the proposal is deemed unsuitable to be brought further.
- 3.6. The responsibility of Chair of Research Alliance

- 3.6.1. To advise on the current research direction of the University and align the proposal accordingly.
- 3.6.2. To act as the bridge between the interest of the University in terms of research matters and to communicate the research vision and mission set by the University to Faculty/School and to the proposer and facilitate a sound proposal.
- 3.6.3. To review the implication especially (but not limited to) the comparison between the proposed Research Group with the existing ones. These could include:
  - 3.6.3.1. Assisting in determining a unique sub niche area to be championed by the proposed entity.
  - 3.6.3.2. Ensuring the proposed group has enough expertise to develop the sub niche area
  - 3.6.3.3. Information such as publication track records, research grant histories and also sound action plan provided by the proposer could be used for such purpose
- 3.6.4. Has the rights to reject any proposal at the Research Alliance level if the proposal is deemed unsuitable to be brought further.
- 3.7. The secretariat is responsible for reviewing the working paper after the paperwork is completed according to the template and shall provide operational advice in any area deemed appropriate.

#### **4. Dissolution**

- 4.1. For completed workflow please refer to Appendix 1. The workflow can also be found in the Research Entity (RG/CoE) section at <https://www.utm.my/office-dvc/ri/strategic/>
- 4.2. Working paper must be proposed according to Appendix 1 and must be tabled at the Research & Innovation Senate Standing Committee meeting. The template of the working paper can be accessed at <https://www.utm.my/office-dvc/ri/strategic/> ([Link](#) & [Link](#))
- 4.3. The responsibility of the proposer
  - 4.3.1. To prepare the paperwork considering elements including (but not limited to) the future of the existing members of the Research Group and the collective field of expertise of the members.
  - 4.3.2. The elements/subheadings of the template must be strictly followed. The secretariat reserves the right to reject any paperwork deemed incomplete.
  - 4.3.3. The proposer must also ensure the existing members have already found another Research Group to join and such permission has been granted.

- 4.3.4. To revise the working paper after comments from Deputy Dean of Research and/or Associate Chair of Research and Chair of Research Alliance.
- 4.4. The responsibility of Deputy Dean of Research and/or Associate Chair of Research
  - 4.4.1. To advise on the proposal considering the legacy and prospect of the Research Group.
  - 4.4.2. To facilitate discussion between the proposer, the Faculty/School and related Research Alliance to ensure a more synergistic approach before making a decision to support the proposal, taking into consideration that the Research Alliance is the de-facto caretaker of the University's research direction.
  - 4.4.3. To review the implication especially (but not limited to) on the future of the Research Group. These could include:
    - 4.4.3.1. Facilitating potential members recruitment if the Research Group is deemed too "valuable" to the Faculty/School.
    - 4.4.3.2. Ensuring the interest of the Faculty/School in terms of research is well taken care of, with the dissolution of the Research Group
    - 4.4.3.3. Ensuring the sub niche area, championed by the Research Group, if possible and appropriate, to be absorbed by another Research Group or entity and continue to develop the sub niche area.
    - 4.4.3.4. Information such as publication track records, research grant histories and also sound action plan provided by the proposer could be used for such purpose
  - 4.4.4. Has the rights to reject any proposal at the Faculty/School level if the proposal is deemed unsuitable to be brought further.
- 4.5. The responsibility of Chair of Research Alliance
  - 4.5.1. To advise on the proposal considering the legacy and prospect of the Research Group, considering the University's interest
  - 4.5.2. To act as the bridge between the interest of the University in terms of research matters and to communicate the research vision and mission set by the University to Faculty/School and to the proposer and facilitate a sound proposal.
  - 4.5.3. To review the implication especially (but not limited to) on the future of the Research Group. These could include:
    - 4.5.3.1. Facilitating potential members recruitment if the Research Group is deemed too "valuable" to the University.
    - 4.5.3.2. Ensuring the interest of the University in terms of research is well taken care of, with the dissolution of the Research Group

- 4.5.3.3. Ensuring the sub niche area, championed by the Research Group, if possible and appropriate, to be absorbed by another Research Group or entity and continue to develop the sub niche area.
- 4.5.3.4. Information such as publication track records, research grant histories and also a sound action plan provided by the proposer could be used for such purpose.
- 4.5.4. Has the rights to reject any proposal at the Research Alliance level if the proposal is deemed unsuitable to be brought further.
- 4.6. The secretariat is responsible for reviewing the working paper after the paperwork is completed according to the template and shall provide operational advice in any area deemed appropriate.

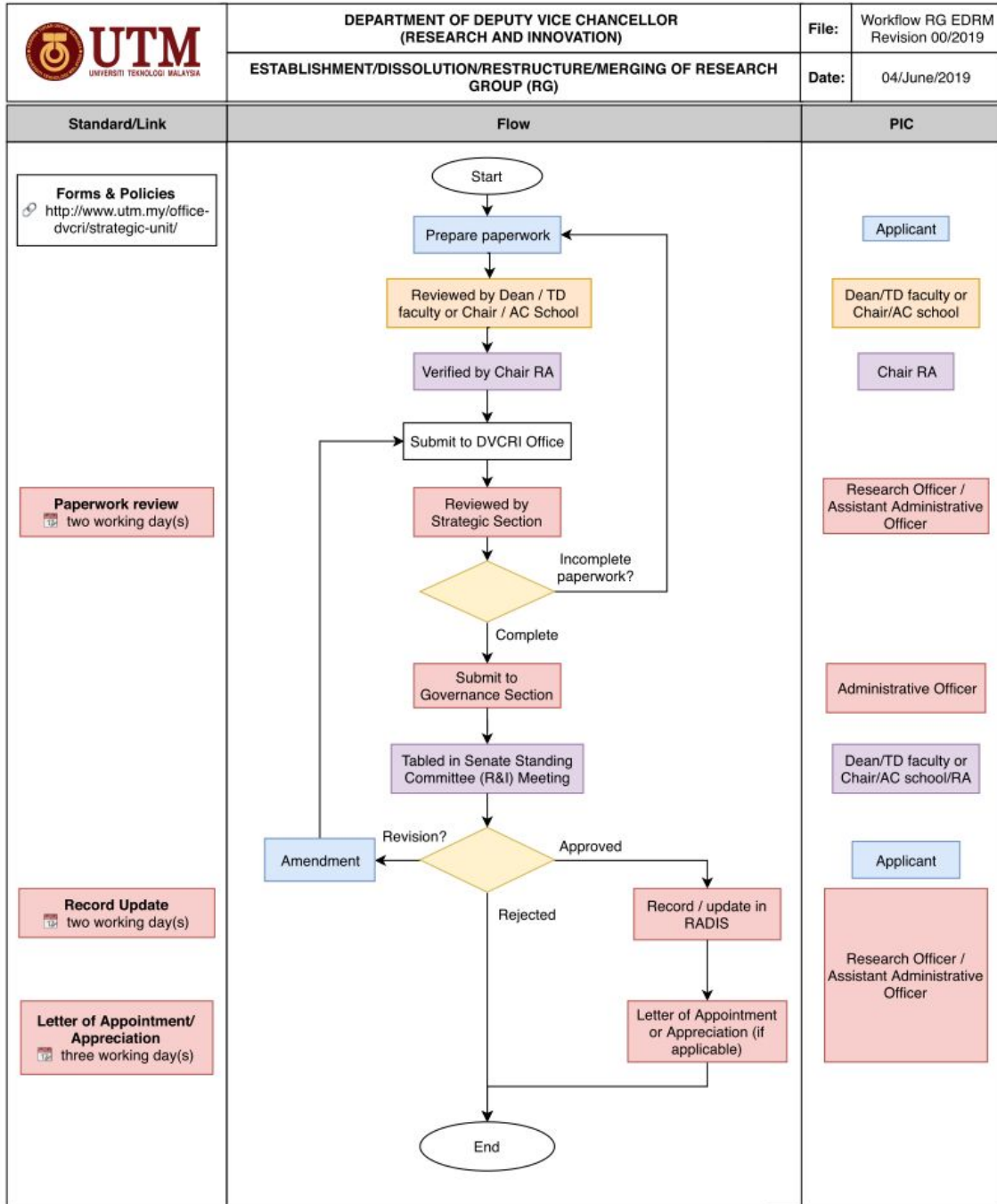
## **5. Effective Date**

- 5.1. This guide is effective immediately on 12 April 2020. All working paper received after this date will be assumed to have been prepared based on the suggestion clauses outlined in the guide.

Thank you.

**Prof Datuk Ts Dr Ahmad Fauzi Ismail**  
**Deputy Vice Chancellor (Research & Innovation)**  
**Universiti Teknologi Malaysia (UTM)**  
**Date: 12 April 2020**

### Appendix 1: Establishment/Dissolution/Restructuring/Merging of Research Group



Officer-in-Charge:

Head of Section:

Head of Department:

Muhamad Hairulnizam Ishak  
 Asst. Admin. Officer  
 Date:

Chew Teong Han  
 Research Officer  
 Date:

Nur Hakimi Karsono  
 Deputy Registrar  
 Date:

**Appendix 2: Template Paperwork Establishment/Dissolution/Merging of Research Group**

Approval	/
Notification	

**WORKING PAPER FOR APPROVAL OF MEETING OF THE SENATE STANDING  
COMMITTEE (RESEARCH & INNOVATION)**

**PROPOSAL FOR ESTABLISHMENT/DISSOLUTION/MERGING OF RESEARCH GROUP**

**XXXXXX**

	<b>Prepared by</b>	<b>Reviewed by</b>	<b>Verified by</b>	<b>Approved by</b>
Signature				
Name and Position	RG Leader	TD (Research) / Dean / AC (Research) / Chair	Chair of RA	DVCRI
Date				

**UNIVERSITI TEKNOLOGI MALAYSIA**

**WORKING PAPER FOR APPROVAL OF MEETING OF THE SENATE STANDING  
COMMITTEE (RESEARCH & INNOVATION)**

**PROPOSAL FOR ESTABLISHMENT/DISSOLUTION/MERGING OF RESEARCH GROUP**

**(name of research group)**

**1.0 Aim**

The aim of this working paper is to seek approval from the Senate Standing Committee (Research and Innovation) for the proposal to...

**2.0 Background**

- 2.1 Foundation of Establishment – align with the existing departments and faculties
- 2.2 Chronology of Establishment – approval at faculty/research alliance level and minutes of meeting

**3.0 Objectives**

The objectives of the research group are:

**4.0 Proposed Structural Organization**

- 4.1 Name of Research Group
- 4.2 Category (Supervision): Single Discipline (Faculty) / Multi Discipline (Research Alliance)
  - 4.2.1 Note: Single Discipline RG will be supervised by faculty and Multi Discipline RG will be supervised by Research Alliance
  - 4.2.2 Note: Single Discipline RG membership can be opened to all faculties or just one faculty
  - 4.2.3 Note: Multi Discipline RG membership must be opened to all faculties
- 4.3 Research Alliance (**Please choose one**): Smart Digital Community / Innovative Engineering / Health & Wellness / Frontier Materials / Resource Sustainability
  - 4.3.1 Note: All members of the same RG are required to register to the same niche area
- 4.4 Field of expertise
- 4.5 Leader and members
  - 4.5.1 Note: Only 1/5 or 20% of the RG members are allowed as full member of CoE/RC



4.6 Future prospect of the research field/group

## 5.0 Justification

The justifications of the research group are as follows:

## 6.0 Comparison with Existing RG

6.1 Working paper should identify the closest existing RG(s) available, list down their field of expertise and highlight the unique field of research not addressed by current RG but will be key focus area of the proposed RG. Example:

Area	AIBIG/ISSI	Prediction Algorithm RG
Similarities	<ul style="list-style-type: none"><li>• Algorithm development</li><li>• Artificial intelligence</li><li>• System implementation</li></ul>	
Uniqueness		<ul style="list-style-type: none"><li>• Natural computing</li><li>• Speech recognition</li><li>• Human-computer interaction</li></ul>

## 7.0 Implication

7.1 Implication to the existing RG membership. Working paper should address/list the current RG membership of the proposed members and request consensus from the current RG leader to opt out of the RG to form a new RG. Researchers are not required to leave the RG prior to the approval. Example:

Name	Existing RG Membership	RG Leader Approval
Mohd Ali bin Abu	AIBIG	Yes
Tan Tin Tong	ISSI	Yes
Siti binti Ahmad	-	-

7.2 Highlight any other implication involved (budgets, dissolution of existing RG, etc.)

## 8.0 Approval

**Appendix 3: Template Paperwork Restructuring Name / Change of Supervision of Research Group**

Approval	/
Notification	

**WORKING PAPER FOR APPROVAL OF MEETING OF THE SENATE STANDING COMMITTEE (RESEARCH & INNOVATION)**

**PROPOSAL FOR RESTRUCTURING NAME / CHANGE OF SUPERVISION OF RESEARCH GROUP**

**XXXXXX**

	<b>Prepared by</b>	<b>Reviewed by</b>	<b>Verified by</b>	<b>Approved by</b>
Signature				
Name and Position	RG Leader	TD (Research) / Dean / AC (Research) / Chair	Chair of RA	DVCRI
Date				

**UNIVERSITI TEKNOLOGI MALAYSIA**

**WORKING PAPER FOR APPROVAL OF MEETING OF THE SENATE STANDING  
COMMITTEE (RESEARCH & INNOVATION)**

**PROPOSAL FOR RESTRUCTURING NAME / CHANGE OF SUPERVISION OF  
RESEARCH GROUP**

**(name of research group)**

**1.0 Aim**

The aim of this working paper is to seek approval from the Senate Standing Committee (Research and Innovation) for the proposal to...

**2.0 Background**

- 2.1 Foundation of restructuring / supervision – align with the existing departments and faculties
- 2.2 Chronology of Establishment – approval at faculty/research alliance level and minutes of meeting

**3.0 Objectives**

The objectives of the research group are:

**4.0 Proposed Structural Organization**

- 4.1 Name of Research Group
- 4.2 Category (Supervision): Single Discipline (Faculty) / Multi Discipline (Research Alliance)
  - 4.2.1 Note: Single Discipline RG will be supervised by faculty and Multi Discipline RG will be supervised by Research Alliance
  - 4.2.2 Note: Single Discipline RG membership can be opened to all faculties or just one faculty
  - 4.2.3 Note: Multi Discipline RG membership must be opened to all faculties
- 4.3 Research Alliance (**Please choose one**): Smart Digital Community / Innovative Engineering / Health & Wellness / Frontier Materials / Resource Sustainability
  - 4.3.1 Note: All members of the same RG are required to register to the same niche area
- 4.4 Field of expertise
- 4.5 Leader and members
  - 4.5.1 Note: Only 1/5 or 20% of the RG members are allowed as full member of CoE/RC
- 4.6 Future prospect of the research field/group

## **5.0 Justification**

The justifications of the restructuring/change of supervision are as follows:

## **6.0 Implication**

6.1 Implication to the existing RG membership. Working paper should address/list the current RG membership of the proposed restructuring/change of supervision, such as bulk switching of members to new RA, members leaving the current RG and become members to another RG, etc.

6.2 Highlight any other implication involved (budgets, dissolution of existing RG, etc.)

## **7.0 Approval**