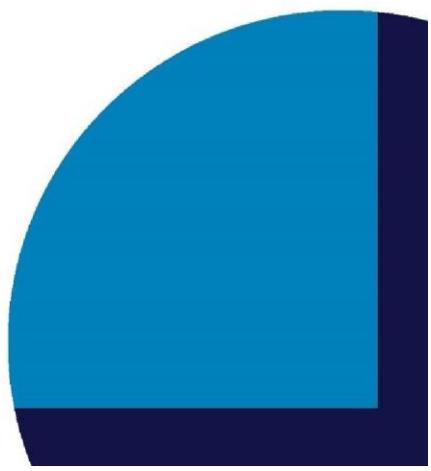




PSU

**POLICY & PROCEDURES
MANUAL**



Research

Prince Sultan University
PSU Policy Management System
Research Policy

Policy Code: RS0001
Policy Name: Research Policy
Responsible Unit: The Research and Initiatives Center
Date of Current Review: October 2017
Approved by: University Council
Date of Approval: 2/2/2017

Overview:

PSU identifies research as a key result area (KRA) of its overall institutional performance as declared in its mission statement. It is considered to be an integral part of the educational process, a pathway to address the needs of the local community, and a potential contributor to the development of the local knowledge-based economy. Research is also regarded as a potential source of income for the institution.

Purpose

This policy provides a broad course of action for the development and implementation of research activity and management in the university.

Scope:

Institution-wide

Definitions:

Unless otherwise stated, the following definitions shall apply for purposes of this policy:

- **Research:** the conduct of systematic inquiry, experimentation, and knowledge sharing in which faculty members and students engage.
- **Funding:** The provision by the university of financial and material provisions necessary to conduct a research project.
- **Research Grants Bylaws:** A set of rules and procedures codified by the university to guide and regulate the processes of in-house funding of research projects and stipulate their expected deliverables.
- **Book-Authoring and Book-Translation Grants Bylaws:** A set of rules and procedures codified by the university to guide and regulate the processes of in-house funding of book-authoring and book-translation projects.
- **College Research Committee:** Chaired by the College Research Director (CRD) and members representatives from all departments to take charge of processing all college research activities.
- **College Research Director (CRD):** Person in charge to follow up on all research related activities at the college level in direct collaboration with the college dean.

- **Research Labs Bylaws:** A set of rules and procedures codified by the university to guide and regulate the processes of establishing and funding research labs and stipulate their expected deliverables.
- **Research Lab:** is a group of researchers from diverse and integrated academic disciplines, which has sufficient research capabilities and experience to ensure the marketing and quality of research production and knowledge transfer
- **Research Group:** A group of researchers formally recognized as one work team which conducts research projects in a certain field of inquiry.
- **Distinguished Research Incentives:** Monetary rewards for faculty members who publish research papers in high-impact journals.
- **Research Excellence award:** A monetary award of SR 25,000 along with formal honors conferred upon the PSU researcher with the most significant research output in a given calendar year.
- **Principal Investigator:** A university faculty member who heads a team conducting a research project and manages the budget.
- **Co-Investigator:** A faculty member, or an expert, who works with others on a research project under the leadership of a principal investigator.
- **Research Assistant:** A person who helps in some functions of a research project without making any intellectual contribution.
- **Consultant:** An expert who provides technical advice on some aspects of a research project.
- **Reviewer:** An expert assigned to provide critical appraisal of a proposed or completed research project.
- **Institutional Review Board:** PSU's in-house research ethics committee which ensures that any PSU-affiliated research involving human or animal subjects is compliant with local and international codes and protocols on research ethics.

Policy:

A. Funding:

1. Research Projects:

One of the major goals of Prince Sultan University is to promote academic research in the applied, technical, and theoretical domains of knowledge. The College invites proposals from its faculty members and passes them through a process by CRC. Proposals deemed feasible and of satisfactory scientific merit are awarded the necessary funds and subjected to a follow-up process. The process is guided by the Research Grants Bylaws. Faculty members are also encouraged to apply for research funding from external sources.

2. Research Groups:

To achieve strength in specific research fields, the university supports the establishment of focused research groups. Proposal for the creation of a research group is submitted by a group of faculty members to the concerned CRC and later the college council. The council recommendation is submitted to the RICC for approval. Once approved, the research group receives seed funding and appropriate physical space. The group's output and feasibility will be periodically assessed. Groups showing sustainability and growth potential will be considered for upgrading into research centers, centers of excellence, or spinoff commercial entities.

The process is guided by the Research labs Bylaws.

3. Research Labs:

To achieve strength in specific research fields, the university supports the establishment of focused research groups. Proposal for the creation of a research lab is submitted by a group of faculty members to the concerned CRC and later the college council. The council recommendation is submitted to the RICC for approval. Once approved, the research lab receives seed funding and appropriate physical space. The group's output and feasibility will be periodically assessed. Groups showing sustainability and growth potential will be considered for upgrading into research centers, centers of excellence, or spinoff commercial entities.

The process is guided by the Research labs Bylaws.

B. Expectations:

All faculty members who hold a doctorate degree are expected to engage in research activities and publish research papers. A major part of the annual evaluation of the performance of doctorate holders is allotted to research. Other faculty members (who do not hold a doctorate degree) are encouraged to participate in research activities and publishing.

Publishing in high-impact journals greatly enhance faculty members' chances of retention at the university, in addition to making them eligible for the Distinguished Publications Incentives.

C. Ethics

PSU requires its researchers to observe local and international research ethics standards and protocols when carrying out research projects that involve humans and animals. To this end, proposals for such projects must be submitted to PSU's Institutional Review Board (registered at the National Committee of Medical and Bioethics) for review and approval.

D. Research Activities:

PSU is keen on promoting an active research-conducive environment and developing the skills of students and junior researchers. PSU holds a number of annual research forums. These scholarly gatherings can be discipline-specific or multi-disciplinary. These forums and international symposiums are designed by the Colleges specifically for undergraduate students to write research papers or prepare posters and present them to peers.

E. Research Commercialization

It is in the context of advancement of research and community service that PSU supports and encourages efforts toward commercializing university research and bringing them to the public for the general benefit to the community and to the Kingdom. PSU encourages such commercial developments and applications while safeguarding the university and individual rights. Research program includes work done by faculty members during their association with PSU or work done with full or partial use of PSU resources. The inventor should receive forty percent (40 %) of the net royalty income. Joint inventors share in the 40% equally. Such shares will continue to be paid to the inventor even if his/her association with the university has ended. In case of death of the inventor, the royalty shares will be paid to the lawful heirs according to Saudi laws.

Prince Sultan University
PSU Policy Management System
Participation in Scientific Conferences Policy

Policy Code: RS0003

Policy Name: Participation in Scientific Conferences Policy

Responsible Unit: The Research and Initiatives Center

Date of Current Review: October 2017

Approved by: University Council

Date of Approval: 2/2/2017

Overview

Prince Sultan University faculty members may participate in scientific conferences in accordance with the following policy.

Purpose

This policy provides guidelines for attending scientific conferences by faculty members.

Definitions

- Scientific Conference: A place where researchers and scientists from various countries are gathered to discuss and exchange ideas about the results of their scientific findings.
- Faculty Member: All faculty members of Prince Sultan University with Master's/PhD degrees.

Policy

General Requirements

- All faculty members, current and newly hired, are entitled to participate in a scientific conference related to their area of specialization.
- Requests for participating in scientific conferences held during the following periods: the first two weeks (registrations period), the last two weeks of the academic semester, or the final examination period shall not be accepted.
- A faculty member may only participate in two scientific conferences each academic year.
- The subject of the scientific conference should be pertinent to the specific specialization of the faculty member.
- Faculty member wishing to participate in the scientific conference must have a scientific paper accepted for presentation and publication at the conference.
- There must be at least a three-month period between one scientific conference and the other.
- The faculty member must state his affiliation as a faculty member with Prince Sultan University in his paper.
- A faculty member may not use the same paper to request participating in more than one scientific conference. He/she may not use a paper that has been previously presented at any other conference.

- The faculty member must request participation at a reasonable time prior to the scientific conference.
- A request to participate in a scientific conference must include the following documents:
 - A filled out “Request for Participating in Scientific Conferences” form accompanied by all required documents as specified in the form.
 - A form explaining the arrangements made concerning the faculty member’s classes during his absence and participation in the conference signed by the chairman of the department.
 - A copy of the final draft of the paper that will be presented at the scientific conference.
 - A letter from the conference’s supervising committee stating the acceptance of the paper and the name of the publisher.
 - An acceptance letter from the paper’s co-authors, if any, in which they agree for the author to present at the conference.
- As a condition for allowing him/her to attend any scientific conference later, the faculty member participating in a conference must submit a report to the head of his/her department no later than 30 days after his participation in the conference in the special form prepared for that purpose. A copy of this report must be submitted to the CRC.
- Once published, an original copy of the conference proceedings, if applicable, where the faculty member’s paper has been published must be submitted to the CRC.

PSU Policy Management System
Funding for Scientific Conferences Participation Policy

Policy Code: RS0004

Policy Name: Participation in Scientific Conferences Policy

Responsible Unit: The Research and Initiatives Center

Date of Current Review: October 2017

Approved by: University Council

Date of Approval: 2/2/2017

Overview

Prince Sultan University faculty members may be getting funded for participating in scientific conferences in accordance with the following regulation.

Purpose

This policy provides guidelines for funding the attending scientific conferences by faculty members.

Policy

A) Funding Categories:

The university will provide funding for its faculty members participating in scientific conferences as per one of the following categories:

- First Funding Category, which includes:
 - Round-trip tickets from Riyadh to the country of the scientific conference. - Accommodation expenses that do not exceed 500 Saudi Riyals per day of the scientific conference's days.
 - Registration fees of the scientific conference.
- Second Funding Category, which includes:
 - Round-trip tickets from Riyadh to the country of the scientific conference.
- Third Funding Category, which includes:
 - The university approves the participation of the faculty member in the conference without any monetary funding by the university.

B) Conditions of obtaining funds for each category:

To obtain funds for the first category, the following criteria must be met:

- The organizer of the conference must be an academic/research institution or a scientific society, working in the scientific field, which is globally recognized for its sobriety and seriousness.

- To evaluate the sobriety and seriousness of the organizer of the conference (event), the applicant must provide evidence to prove the following:
 - a. The organizer of the conference is a well-known body associated with a globally recognized academic/research institution.
 - b. The conference has an international announced scientific committee.
- The scientific conference (event) has been continuously held in the last ten years without any interruption.
- The faculty member must provide clear evidence proving the existence of real review for the conference's papers that follows the generally accepted criteria in refereeing the presented and published papers.
- The seriousness of reviewing papers is a condition for presenting and publishing them in the conference and this must be proved by the following two indicators:
 - a. The website of the conference clearly states that all papers presented to it shall be subject to review. A proof of this must be submitted by the applicant.
 - b. The applicant shall be requested by the supervising committee of the conference to submit the complete scientific paper for review as a condition for participating in the conference.

To obtain funds for the second category, the following criteria must be met:

- The organizer of the conference must be an academic/research institution or a scientific society, working in the scientific field, which is globally recognized for its sobriety and seriousness.
- To evaluate the sobriety and seriousness of the organizer of the conference (event), the applicant must provide evidence to prove the following:
 - a. The organizer is a well-known body associated with a globally recognized academic/research institution.
 - b. The conference has an international announced scientific committee
- The scientific conference (event) has been continuously held in the last three years without any interruption. The applicant must provide a summary on the conference showing that it has been continuously held in the last three years without any interruption
- The faculty member must provide clear evidence proving the existence of real review for the conference's papers that follows the generally accepted criteria in refereeing the presented and published papers.
- The seriousness of reviewing papers is a condition for presenting and publishing them in the conference and this must be proved by the following two indicators:
 - a. The website of the conference clearly states that all papers presented to it shall be subject to review. A proof of this must be submitted by the applicant.
 - b. The applicant shall be requested by the supervising committee of the conference to submit the complete scientific paper for review as a condition for participating in the conference.

To obtain funds for the third category, the following criteria must be met:

- The organizer of the conference must be an established academic/research institution or a scientific society, which is well-known in the scientific field.
- To evaluate the sobriety and seriousness of the organizer of the conference (event), the applicant must provide evidence to prove the following:

- a. The organizer is a well-known body associated with a globally recognized academic/research institution.
- b. The conference has an international announced scientific committee
- The scientific conference (event) has been continuously held in the last three years without any interruption.
- The applicant must provide a summary on the conference showing that it has been continuously held in the last three years without any interruption
- The faculty member must provide clear evidence proving the existence of real review for the conference's papers. The seriousness of reviewing papers is a condition for presenting and publishing them in the conference and this must be proved by the following two indicators:
 - a. The website of the conference clearly states that all papers presented to it shall be subject to review. A proof of this must be submitted by the applicant.
 - b. The applicant shall be requested by the supervising committee of the conference to submit at least an abstract for the paper for review as a condition for participating in the conference.

Prince Sultan University
PSU Policy Management System
Ownership and Responsibility of Equipment Obtained Through
Grants Policy

Policy Code: RS0005

Policy Name: Ownership and responsibility for maintenance of equipment obtained through research grants

Responsible Unit: The Research and Initiatives Center

Date of Current Review: October 2017

Approved by: University Council

Date of Approval: 2/2/2017

Overview

Buying any equipment to be used in research project is only justified when this equipment is deemed important for the project progress, it is not available in the campus and there is no other equipment available that can provide its intended mission. All special purpose equipment used in research projects must be shared by investigators according to the terms upon which the equipment was purchased and/or acquired.

Purpose

The purpose of this policy is ensure that equipment purchased with funds obtained from a research grant are in accordance with PSU's rules and regulations.

Scope

This policy is applicable for all faculty and administrative staff who have received funding through grants.

Definitions:

Research Equipment: **Research equipment is an instrument used mainly for research purpose.** This equipment may be purchased, borrowed or manufactured from component parts using Prince Sultan University laboratory facilities. Personal computers, printers and Software are not considered as research equipment unless solid evidence is provided to justify its need as a direct part of the research.

Policy:

Individual Responsibilities

The duty of individuals in charge with managing the research equipment includes but is not limited to:

1. The Principal Investigator of the research is responsible for the proper use and proper maintenance of the research equipment. It is the responsibility of the Principal Investigator to decide the needs of the research equipment and he starts the process of purchasing this apparatus if it is not available at Prince Sultan University.

2. It is the responsibility of the CRD at which the Principal Investigator belongs, to verify that research equipment in is accounted for and is optimally used as intended in the research.
3. The CRC will maintain inventory control of research equipment and assist in shared use of research equipment by keeping records of available items.

Shared Use Priorities

Equipment can be used by other projects in the college if such usage will not interfere with the purpose and the work on projects which the item was originally acquired for.

Purchasing Research Equipment

Once the need for research equipment is established, the Principal Investigator, PI must complete a "Research Equipment Procurement form" (obtained from the CRD).

The PI should submit up to three price quotes from three different sources. These documents are processed through CRC and forwarded to the RIC director for action.

Title to Research Equipment

Prince Sultan University retains the title to research equipment purchased with grant funds, funds independently generated by the University. The RIC is the entity responsible for processing the title to the equipment used in research.

Management of Research Equipment

Principal investigators are responsible for maintaining the research equipment and keeping custody of such equipment. It is the responsibility of the CRD at which the Principal Investigator belongs, to report any significant changes in the equipment use or physical location of the research equipment.

Shared Maintenance/Operating Costs

The cost of Maintenance and operating costs of shared equipment is shared by the parties using the equipment in proportion to the usage of the equipment.

Disposition of Research Equipment

Research equipment that becomes unserviceable, no longer needed by the principal investigator, or upon the termination of the research should be inventoried as belonging to the academic department/center concerned.