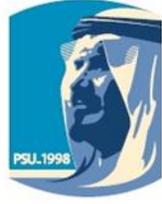


Research Grants Bylaws

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And Approved by the Rector November 2017



جامعة الأمير سلطان
PRINCE SULTAN
UNIVERSITY

Research Grants Bylaws

Introduction

One of the major goals of Prince Sultan University is the promotion of academic research in the applied, technical, and theoretical domains of knowledge. To that end, the University encourages faculty members, lecturers, teaching assistants and students to utilize its facilities of laboratories and libraries to conduct research in their areas of interest. Moreover, the University provides funding for some research per its rules and regulations and encourages forming specialized discipline-specific research teams on topics deemed of academic and practical significance. Faculty members may also apply for funding for their research from external sources.

This document, the *Research Funding Bylaws at Prince Sultan University*, has been drafted in the light of the *Uniform Rules for Academic Research in Saudi Universities* and the experiences of many Saudi, Arab and international universities and research centers in order to standardize funding of research projects at the University. The *Research Funding Bylaws at Prince Sultan University* was approved by the University Council at its seventh session in the first semester of the academic year 1432/1433 held on 02/08/1433 H (01/02/2012 AD). Major amendments to the bylaws were later approved by the University Council on 11/07/1436 H (30/04/2015), and on 26/08/1437H (02/06/2016).

The *Research Funding Bylaws at Prince Sultan University* include a list of general definitions of many of the relevant terms, the regulations and procedures of funding these projects. This document further includes information about application for funding and the follow-up procedures on the progress of projects.

Article (1)

All terms shall have the meanings hereunder assigned to them unless the context specifies otherwise:

University: Prince Sultan University, located in Riyadh, Kingdom of Saudi Arabia

RIC: The Research and Initiatives Center at Prince Sultan University

RICC: Research and Initiatives Center Committee

CRC: College Research Committee

The University-Funded Research Project: An academic output, per established academic principles, carried out by a faculty member, individually or in collaboration with others, to serve one or more of the academic disciplines of interest to the University. The research may be an applied study made to obtain results to corroborate previous research to enrich the academic field or a theoretical study manifested in research.

CRD: College Research Director

Principal Investigator: A faculty member of the University who heads the research team and assumes the responsibility for conducting the project and spending from its budget.

Co-Investigator: A faculty member, or an expert, who works with others on the research project.

Assistant Researcher: A lecturer, teaching assistant, technician, graduate student, or undergraduate student who participates in the completion of the research project, and his/her name shall not be included as an author of the project.

Consultant: An expert nominated by the Principal Investigator as a consultant to the research project and his/her name shall not be included as an author of the project.

Reviewer: An expert assigned to review the proposed or completed research project.

Article (2)

Research conducted at the University aims to contribute to the knowledge across disciplines. More specifically, this research endeavors to:

- 2.1. Conduct studies and research commissioned by governmental or private bodies to generate academic and practical solutions to challenges;

- 2.2. Transfer modern technology, localize it, and participate in its development and adaptation;
- 2.3. Link academic research to the objectives of the University, its research priorities, and its plans for development;
- 2.4. Foster a generation of distinguished researchers able to conduct quality original research, through involving graduate students, teaching assistants, lecturers, and research assistants in academic research; and
- 2.5. Improve the quality of undergraduate and postgraduate studies.

Article (3)

Researchers, both faculty members and students, are encouraged to conduct original and innovative research that contributes to the enrichment of specialized knowledge and serves the community. To this end, the University does the following:

- 3.1. Supports researchers in publishing their research in local and international venues and provides the means for academic documentation to facilitate the mission of the researchers;
- 3.2. Collaborates with academic and research bodies in- and outside the kingdom through encouraging joint research and exchanging knowledge and expertise;
- 3.3. Seeks venues and channels to encourage individuals and institutions to support and fund research projects to achieve the mission of the University;
- 3.4. Provides up-to-date technological channels and latest publications including periodicals and books; and
- 3.5. Seeks communication channels with experts in the industrial and commercial fields to evaluate the commercializable projects.

Article (4)

The Rector of the University, in coordination with the RIC Director, may commission some research for special purposes. A report of said commissions shall be presented to the University Council at the end of each academic year.

Article (5) (General Funding Rules)

5.1. Research projects shall be funded from the approved research budget of the University, from the support provided by governmental, private and non-profit bodies, or from any of the sources of self-funding available to the University.

5.2. The Principal Investigator shall be an employee of the University at the time of signing the funding contract.

5.3. The topic of the research project requested for fund must be characterized by novelty and originality and from the field of specialty of the Principal Investigator.

5.3. Executive Rule:

5.3.1. Applying for funding for a project previously done by the researcher or any other is not allowed. It is not allowed to apply for funding research that is based on a book or graduate thesis by the researcher or any other.

5.3.2. Should it be later discovered that the researcher had applied for funding for previously done research or one based on a book or graduate thesis by said researcher or any other, funding shall be revoked for the said research and the researcher shall be denied funding for at least one year.

5.4. A group of co-investigators, consultants or assistant researchers from outside the university may participate in the research project.

5.4. Executive Rule:

5.4.1. Co-investigators from outside the University may be involved in a university-funded project, to a maximum of 50% of the total number of participants in that project.

5.4.2. The Principal Investigator must define the functions of each participant.

5.5. The maximum allocated funds for small-scale projects are thirty thousand (30.000) SR.

5.5. Executive Rule:

- 5.5.1. Faculty members with a master degree or above may apply for these projects as a Principal Investigator.
- 5.5.2. The specified fund for the project includes the expenses of materials, equipment and the remuneration of assistant researchers and consultants.
- 5.5.3. The project duration shall not be less than 6 months and shall not exceed 12 months.
- 5.5.4. The minimum expected outcomes of research projects are publishing one scientific paper in ISI or Scopus databases, excluding Emerging Sources Citations Index journal. Publishing in the proceedings of refereed conferences is not accepted.

- 5.6. The maximum allocated funds for large-scale projects are three hundred thousand (300,000) SR. Large scale projects are to be submitted through the colleges' research labs, and based on the college research themes.

5.6. Executive Rule:

- 5.6.1. The Principal Investigator shall be a PhD holder.
- 5.6.2. The specified fund for the project includes the expenses of materials, equipment and the remuneration of assistant researchers and consultants.
- 5.6.3. The project duration shall not be less than 12 months and shall not exceed 24 months.
- 5.6.4. The minimum expected outcomes of research projects are publishing **two scientific papers** in ISI or Scopus databases, excluding Emerging Sources Citations Index journal. Publishing in the proceedings of refereed conferences is not accepted.

- 5.7. The Principal Investigator and any member of the research project affiliated to the university must state his affiliation as a faculty member with Prince Sultan University in any publication resulting from the project.

- 5.8. All researchers of the funded project shall acknowledge the fund they received from the university in any product of the project whether scientific papers or any other product, and shall adhere to the following wording literally in the thanking phrase:

“This work was supported by the research grants [name]; Prince Sultan University; Saudi Arabia [grant number xxx]”

5.8 Executive Rule:

5.8.1 Should a faculty member apply, as a principal or co-investigator, for funding a second research project, he/she shall have completed the requirements of first university funded project.

5.9. Should the Principal Investigator or the CRC deem the research project confidential, the period of confidentiality of said project shall be specified in writing.

5.10. The cost of materials and equipment must be accurately specified in the project plan. The Principal Investigator shall abide by the cost specified in the research project plan.

5.10.Executive Rule:

5.10.1. The Principal Investigator shall enclose up to three quotes for all materials and equipment of the research project when submitting the research plan.

5.10.2. The College shall not bear any additional costs of the approved budget for the project as a result of difference in currency exchange rate, a change in the equipment prices or any other.

5.11. All equipment and materials used in university-funded research projects are owned by the University. Thus, they all must be returned to the concerned college upon the project completion.

5.12. The Principal Investigator may not apply to another party for funding a research project, fully or partially, that is being funded by the University without the consent of the College Dean, based on CRC recommendation.

5.13. The output of research projects funded by the university shall not include any reference of project funding for the same project to any other funding body without the consent of the College Dean, based on CRC recommendation.

5.14. The output of research projects funded by the university shall not be published under researchers' names not listed in the approved project plan without obtaining the consent of the College Dean, based on CRC recommendation before the end of half of the project duration.

- 5.15. No major changes shall be made to the type, title, methodology and itemized budget of a project approved for funding. In case a need arises for minor modifications, College Dean, based on CRC recommendation, approval is deemed necessary.
- 5.16. Should the research project not be completed on time, the CRC may grant the Principal Investigator a one-time extension upon the researcher's request.

5.16.Executive Rule:

- 5.16.1. The researcher's request must be accompanied with justifications for the additional time required to complete the project.
- 5.16.2. This period must not exceed half the duration of the project.
- 5.16.3. The extension must not entail any additional financial obligations on the university.

- 5.17. Should the Principal Investigator stop short of the completion of the research project, he/she shall submit a full financial and scientific report on what has been accomplished and what has been spent from the budget of the project.

5.17Executive Rule:

- 5.17.1. If case the CRC accepts the excuse of the principal investigator, he/she shall bear the sole responsibility of returning the remaining funds, equipment and materials provided by the University.
- 5.17.2. If the CRC does not accept the excuse of the principal investigator, he/she shall bear the sole responsibility of returning all funds, equipment and materials provided by the University or compensating the University for their actual value.
- 5.17.3. The CRC is entitled to delegate the role of the principal investigator to another member of the research team until the completion of that project.

- 5.18. The Principal Investigator may not relieve any of the research project team members of his/her duties without submitting justification to the CRC. The Principal Investigator may nominate an alternative after obtaining the consent of the College Dean, based on CRC recommendation.
- 5.19. If a team member wishes to withdraw from a project, he/she must submit an acceptable excuse to the CRC. If the request is accepted, the Principal Investigator may nominate an alternative after obtaining the consent of the College Dean, based on CRC recommendation.

- 5.20. The College Council reserves the right to annul the project-funding contract should the reviewers' midway reports show that the Principal Investigator's lack of adherence to the nuances of the project or its pre-set schedule or should the reviewers' reports include a low evaluation feedback, or in case the researchers did not meet the minimum expected output of the research project (as stated above in Article 5 of the General Funding Rules).

5.20. Executive Rule:

- 5.20.1.** If the project-funding contract is terminated, the Principal Investigator must return all funds, equipment and materials provided by the University or compensate the University for their actual value.
- 5.20.2.** The researchers relinquish their right to the fees of publication upon cancelling the project.

- 5.21. Should the college decide to use external reviewers for a given project, then if the reviewers request major modifications to the research project at the final review stage, the researcher is granted an extension to implement the required modifications given that the extension duration does not exceed half the duration of the approved project (the extension in Article 17 of this bylaws added to the extension in the current article) and the project is reviewed once more.
- 5.22. Applying for funding for any research project that require ethical approvals, such as dealing with human samples or living creatures, a consent of the Research Ethics committee (IRB) much be enclosed with the application. The Research Ethics committee is an independent body that operates under the umbrella of the office of the Vice Rector for Administrative Affairs and Finance.
- 5.23. In case the research requires dealing with substances or equipment that might be harmful (such as chemical, radioactive or biological materials) or sensitive samples (extracted from humans or animals), a written consent must be obtained from the RIC in collaboration with CRD for the concerned college before bringing such materials to the campus.
- 5.24. All intellectual property rights to inventions or discoveries resulting from funded research projects shall be held, in equal shares, by the University and the Principal Investigator, provided that the former bears the cost and procedures of registration. The University may waive its rights to these

inventions and discoveries, provided that it does not bear the burden of fees and registration procedures.

- 5.25. If the research project outcome was commercializable, it shall be evaluated by experts from the field before approving its commercialization.

Article (6) (Procedure for funding application and project completion)

- 6.1. The College issues a call for research grants applications and specifies the period of time in which the project proposals are received. Research project proposals shall not be accepted after the end of the specified dates.
- 6.2. The CRC receives the applications, and do the required review / checks.

6.2. Executive Rule:

The following must be taken into consideration:

- 6.2.1. Significance of the topic of the proposed project
- 6.2.2. Appropriateness of the topic of the proposed project with the University's goals
- 6.2.3. Originality and novelty of the topic of the proposed project
- 6.2.4. Language correctness and proper layout
- 6.2.5. Completeness of the outline of the proposed project
- 6.2.6. Appropriateness of the proposed requirements for the project

- 6.3. CRC recommendations will be forwarded to the College Council

College council would have two directions:

Give an approval for small scale projects if granted

Forward the recommendation of the council to RIC Director for large scale projects to be processed at the RICC, and for the small scale projects for non-sufficient research funds at the college level.

- 6.4. CRC can recommend selecting some external reviewers for a given project from outside the University if it sees necessary based on the nature of the project.

6.4. Executive Rule

The following must be taken into consideration in choosing reviewers:

- 6.4.1. The appropriateness of their specialization and expertise with the topic

- of the proposed project.
- 6.4.2. The diversity of their affiliation and workplace.
- 6.4.3. The academic rank of the reviewer shall not be less than Associate Professor.
- 6.4.4. No funding shall be granted to any project that obtains a low reviewer's feedback.
- 6.4.5. Priority for funding shall be given to the projects with the highest feedback.

- 6.5. College Council recommends funding for the large scale projects, determining the appropriate amounts for each project after review, and forwarding its recommendations to the RICC for final approval.
- 6.6. Three copies of the project proposal approved for funding and three copies of the funding contract, signed by the College Dean, and the Principal Investigator, are distributed each to the College Dean, CRD and the Principal Investigator.
- 6.7. At the end of the project, the Principal investigator submits a scientific and financial report to the CRC enclosed with original copies of the research project output.

Article (7) (Publication Fees and the Researchers' Remuneration)

7.1. Amounts due at signing the project's contract:

The amounts for materials and equipment approved by the College Council for small scale projects or for large scale projects are paid at signing the project's contract.

7.2. Amounts due after approving the final project by the College Council:

- 7.2.1. Paying the fees of publication in ISI and Scopus- indexed open access journals, in case the journal can only publish in open access, as per the reimbursement receipts submitted by the lab, and paying the values of patent fees.
- 7.2.2. Distinguished publication incentives will be paid as per the university publication incentives policy.
- 7.2.3. The estimated remunerations of consultants and research assistants are estimated at 10,000 riyals per month in the maximum, provided that the remunerations of consultants do not exceed in total 5, 000 riyals for small-scale projects and 10,000 riyals for large-scale projects, and the

remunerations of research assistants do not exceed in total 5, 000 riyals for small-scale projects and 10,000 riyals for large-scale projects.

Article (8)

The College shall bear the remuneration of the research project reviewers. The amount of 1,000 riyals is paid for each reviewer upon reviewing the research project plan or conducting a periodic/ final review.

Article (9)

The updated *Research Funding Bylaws at Prince Sultan University* shall be in effect as of the date of its approved amendments by the office of the Rector and shall further annul all previous regulations that contradict them.

Article (10)

The RIC and the RICC shall reserve the right to interpret these regulations.