



جامعة الأمير محمد بن فهد  
PRINCE MOHAMMAD BIN FAHD UNIVERSITY **PMU**

## Deanship of Research Development

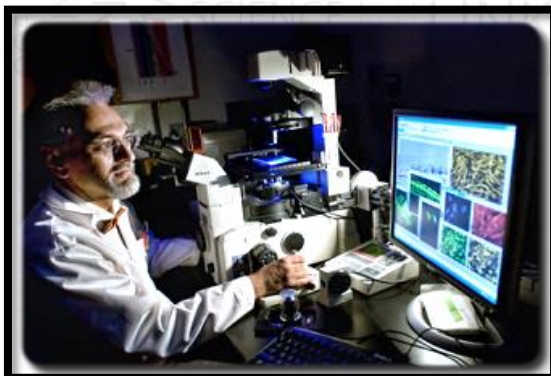


## RESEARCH POLICY HANDBOOK

*revised June 2016*



**10**  
Years  
of Dedication  
and Excellence  
**PMU**



# TABLE OF CONTENTS

Research Integrity, Ethics and Misconduct .....	3
Research Grievance Procedures Policy .....	19
Administration of Copyright Policy and Procedures .....	22
Inventions, Patents and Licensing Policy .....	25
University Commitments Pertaining to Sponsored Project Proposals .....	27
Academic Policy Pertaining to Sponsored Project Proposals .....	30
Cost Sharing Policy .....	33
Internal Grant Proposal Review, Endorsement and Pre-Approval Policy .....	38
Graduate and Undergraduate Student Research Policy .....	42
Undergraduate Student Salaries Charged to Research Projects Policy .....	44
Emergency and Non-Emergency Hazardous Materials Release Response Policy.....	46
Chemical Hygiene Plan and Chemical Hazard Communication Policy .....	49
Financial Reporting and Compliance Policy .....	52
Management of Project Expenditure: Policy and Procedure .....	56
Research Record Keeping Policy and Procedures .....	60
Institutional Research Agenda.....	64
PMU Research Award Criteria Policy .....	67
Internal Grant Proposal Assessment .....	72
Policy for Payment Authorization for Internally Funded Research Project .....	75
Roadmap for Sustainable Growth in Research at PMU.....	78

# I. Research Integrity, Ethics and Misconduct

## 1. PURPOSE

The purpose of this policy and its procedures is to enforce the responsible ethical conduct of research among research faculty of Prince Mohammad Bin Fahd University (PMU), as it pertains to the use of human and animal subjects, while ensuring research integrity and discouraging misconduct and questionable research practices.

## 2. STATEMENT

2.1. Prince Mohammad Bin Fahd University (PMU) aims to become a top research-oriented comprehensive university in the Kingdom of Saudi Arabia and the region. As such, the University expects the highest standards in the conduct of all those involved in research in its name, including faculty members, staff, students, visiting scholars, emeritus professors, or anyone affiliated to its research centers and groups including consultants and contractors. Furthermore, PMU has an obligation to the wider research community, current and potential funders/donors and to the Saudi society as a whole to uphold the ethics and integrity of academic research at all times.

2.2. The research ethics definition adopted by PMU refers to the proper and scholarly manner in which the entire research process is handled, particularly when it involves human and/or animal subjects. Therefore, the project planning phase, data collection, reporting of research findings, and the ultimate submission of a manuscript for peer review, has to adhere to the highest scholarly standards and norms and keep the well-being of its human or animal subjects at the centre. In other words, research ethics is intended to include the fostering of research that protects the interests of the public, the subjects of research, and the researchers themselves. Research is a public trust that must be ethically conducted, trustworthy, and socially responsible if the results are to be valuable.

2.3. PMU principles in research ethics are aligned with those of the Nuremberg Code of 1947. The university has thus embraced and adopted these principles while keeping them focused on its main research areas. The Nuremberg Code was adopted in 1947 in Germany (city of Nuremberg). The motive behind the development of the ethics code was primarily to protect human subjects involved in research experiments/studies, particularly in medical research. This is also emphasized in each of the ten principles of the Nuremberg Code, the premise of which is the very first principle stating that:

***“The voluntary consent of the human subject is absolutely essential”.***

2.4. Other influential documents in the history of research ethics that were considered in shaping this PMU research ethics policy are the Helsinki Declaration titled *“Ethical principles for medical research involving human subjects”* (1964), and the Belmont Report titled *“Ethical principles and guidelines for the protection of human subjects of research”* (1979).

### **3. Human subjects in research**

Prior to the publication of the Nuremberg Code and subsequent publications on the subject of ethics, experiments were conducted on humans without their consent, and without much concern for their rights, welfare or potential harm that the experiment would cause. PMU is committed to developing, implementing and maintaining a systematic and comprehensive appropriate leadership and monitoring of any research involving human subjects, and has set the following standards in this regard:

- 3.1 The Principal Investigator (PI) must have appropriate expertise and training
- 3.2 There must be scientific or scholarly merit in the project
- 3.3 The PI and those involved in the study must be trained and educated with regards to all aspects of research involving human subjects, and accept continuing responsibility for compliance with this policy through the research process.

### **3.1 Accountability in research involving human subjects**

3.1.1. The overall responsibility for ensuring compliance in research involving human subjects lies with the Principal Investigator.

3.1.2. At the institutional level (the University), the responsibility lies with the Dean of Research Development, who is the designated “Institutional Official” (IO). The Institutional Official will be responsible for ensuring that the importance of protecting human subjects is properly understood within the University research community. When an Internal Review Board (IRB) is formed, the IO is responsible for overseeing the Board and monitoring its ability to act with regard to all research involving human subjects. The IO will appoint the Chair of the IRB as well as a Chairman of the Research Ethics Committee (REC) to monitor and approve all research on human subjects at PMU. Until these positions are established the IO assumes their respective responsibilities.

3.1.3. The Chairman of REC will develop and implement policies as well as internal training programs for persons engaged in research involving human subjects. He/she will also be responsible for reporting non-compliance, ensuring that there are appropriate means for participants to report questions or concerns about research in which they are participating, and that any such questions or concerns are responded to promptly and appropriately. He/she will promote human subjects protection throughout the university as well as communication and cooperation between investigators and faculty.

3.1.4. The Internal Review Board (IRB), on the other hand, will be responsible for reviewing all proposals on research involving human subjects, thus ensuring that all proposals meet the applicable ethical standards of this policy.

3.1.5. Research proposals submitted to the IRB must contain sufficient information to allow reviewers to determine the potential risks to the subjects.

3.1.6. Projects that meet the criteria for exemption (outlined below) do not require approval by the IRB. The IRB may make any of the following decision on the proposals: approved with modifications, closing, suspending, terminating or disapproving research proposals.

- 3.1.7. The IRB will advise the Chairman of REC and the IO of any serious or continuing noncompliance with research on human subjects. If a member of the IRB is proposing research involving human subjects, he/she may not participate in the meeting to review their own proposal. Meetings of the IRB must only take place when a quorum is present. Quorum will be defined as one more than half the number of IRB members.
- 3.1.8. Some projects, although involving human subjects, may be exempted from going through the ethical clearance process. However, a non-exempt university form must be filled out and submitted to the IRB office. The exemption eligibility includes:
- 3.1.8.1. All research where participants are 18 years of age or older.
  - 3.1.8.2. Research that is to be conducted in an established or commonly accepted educational setting (including but not limited to schools and universities), involving normal education practices (including but not limited to instructional strategies, effectiveness of or the comparison among instructional techniques, curricula or classroom management methods).
  - 3.1.8.3. Research involving the use of educational tests, survey procedures, interview procedures, or observation of public behavior.
  - 3.1.8.4. Research involving the collection or study of existing data, documents, records, or pathological or diagnostic specimens
  - 3.1.8.5. Research aimed at studying, evaluating, or examining public benefit or service programs.
  - 3.1.8.6. Research involving taste and food quality evaluation or consumer acceptance studies.
- 3.1.9. The basic ethical guidelines in research involving human subjects include:
- 3.1.9.1. Respect for the persons involved in the study as subjects
  - 3.1.9.2. Ensuring that the benefits of the study far outweigh the possible harm to the subjects.
  - 3.1.9.3. Proper documentation of signed consent approved by the IRB.
  - 3.1.9.4. In the case of the informed consent being waived, for example in studies involving minimal risk to the human subjects, the rights and welfare of the subjects must still be protected.

3.1.10. In terms of the PMU policy, research on human subjects also includes three specific groups:

- 3.1.10.1. University students participating in research,
- 3.1.10.2. Women as subjects in research, and
- 3.1.10.3. External human volunteers

### **3.2. University students participating in research**

3.2.1. Student participation is an integral part of some research projects, for example in research on teaching methods, curricula and other areas related to the scholarship of teaching and learning. It is also common practice to award extra study credits to students who participate in a project, such as in the social and behavioral sciences. In cases where credits are awarded, there should also be alternative assignments offered to students who declined to participate in a study, allowing them to also accumulate the same amount of credits as those participating. Participation in any such project must be voluntary and students must be provided with accurate information before commencing with the study. Furthermore, Principal Investigators must not influence or coerce students into participating in a study, and those who decline participating must not be victimized.

3.2.2. The following guiding principles must be observed when working with students as subjects:

- 3.2.2.1. Students must be at least 18 years of age or older so that they can give consent for themselves
- 3.2.2.2. Researchers may not access student records without prior written consent from the student
- 3.2.2.3. Since there are risks of confidentiality in the close environment of the university, special attention should be given to full disclosure of these risks when obtaining the student's consent to participate
- 3.2.2.4. Students must be allowed to withdraw from the study at any time
- 3.2.2.5. If the research is one where data collected from a group project or perhaps an audio or video tape of the group activity each student's consent is necessary for the use of the data in research
- 3.2.2.6. Students have the right to full disclosure as soon as possible. Whenever possible the debriefing should be used as a teaching opportunity.

3.2.3. General accountability procedures/channels followed in research involving human subjects at PMU will be followed in all research involving university students as participants.

### **3.3. Women as subjects in research**

3.3.1. PMU supports and promotes the participation of women/females as subjects in all research areas, provided that such participation is voluntary and the research leader guarantees the ethical and professional treatment of women in all the research processes. Studies involving women as subjects must follow and observe all the rules, regulations and laws of the University and the Kingdom of Saudi Arabia. In the event that there is conflict or variation in the rules, regulations and laws of the University and the Kingdom, those of the Kingdom of Saudi Arabia will prevail.

3.3.2. The review process of all studies involving women as subjects will be the responsibility of the Institutional Human Subject Review Board.

3.3.3. The principal investigator will submit, along with the application, consent forms signed by all women participating in the study to the Institutional Human Subject Review Board. Upon assessing the proposals, the Board will make a recommendation to the University Research Council – the structure responsible for making a final decision on the use of women as subjects in research, as per university policy.

3.3.4. University Research Council may appoint a subcommittee to review specific studies related to women as subjects, namely the Women Research Review Council.

3.3.5. The Women Research Review Council shall review all proposals where women are participating or used as subjects of the study, and will do so following the procedures established by the Institutional Human Subject Review Board and the Exempt and Non-Exempt policy of PMU. The Review Council has the mandate to recommend approval, modification, or rejection of women participation in research studies.

3.3.6. Broadly, the Women Research Review Council will be responsible for assessing ethical and legal issues related to female students who are participating in research studies as subjects, while the Institutional Human Subject Review Board is responsible for judging the technicality and overall quality and scientific merit of the research proposal involving women as subjects of study.

- 3.3.7. All research involving women must be in accordance with the social and traditional norms of the Kingdom of Saudi Arabia.

### **3.4. External human volunteers in research studies**

3.4.1. External human subjects may be used as volunteers in research studies conducted by PMU faculty. These studies will abide by the ethical guidelines followed in all studies involving human as subjects. Furthermore, the study will observe all the rules, regulations, laws and customs of the University and the Kingdom of Saudi Arabia. In the event that there is conflict or variation in the rules, regulations and laws of the University and the Kingdom, those of the Kingdom of Saudi Arabia will prevail.

3.4.2. The Principal Investigator planning to involve external volunteers as subjects in his/her study must submit an application form, accompanied by signed consent forms, to the Institutional Human Subject Review Board requesting permission to this effect.

3.4.3. The final decision on the approval or disapproval of using external volunteers as subjects in research will be made by the University Research Council, after taking into consideration the recommendation(s) of the Institutional Human Subject Review Board.

3.4.4. University Research Council may appoint a subcommittee to review specific studies related to women as subjects, namely the Human Subject as Volunteer Research Review Council. This Council shall review proposals involving external volunteers as subjects, and their participation in research studies. It will do so in line with the procedures established by the Institutional Human Subject Review Board and the Exempt and Non-Exempt policy of PMU. Council may also recommend approval, modification, or rejection of external volunteer participation in research projects.

3.4.5. The Human Subject as Volunteer Research Review Council will be responsible for assessing ethical and legal issues related to external K-12, college, and/or university students who are participating in research studies as subjects; while the Institutional Human Subject Review Board remains responsible for judging the technicality and overall quality and scientific merit of the research proposal involving external volunteers as subjects of study.

### **3.5. Training in the protection of human subjects in research**

3.5.1. PMU is highly committed to the development of a strong institutional research agenda that will allow the University to ensure quality and excellence in research. The University, through its administrative units of the Deanship of Research Development, the University Research Council and the Institutional Human Subject Review Board, will facilitate the training and development of all faculty and staff involved in conducting research that includes the use of human subjects. The University Research Council and the Institutional Human Subject Review Board will be responsible for ensuring that researchers are trained on how to ensure ethical and professional treatment of the human subjects before, during, and after their research processes.

3.5.2. Researchers, whether working as individuals or in groups, must attend a training session designed, organized, and delivered by the Institutional Human Subject Review Board before submitting the final research project application, and before approval by the Board.

3.5.3. The Training and Development Areas of PMU are as follows:

- 3.5.3.1. In accordance with any university research policy related to the use of human subjects in any type of research study, the University Research Council and the Institutional Human Subjects Review Board will join efforts to provide training and development in the areas of Women as Subjects, External Volunteers as Subjects, Student Participating in Research, and any topic that relates to the importance and protection of human subjects in research.
- 3.5.3.2. The design, organization, coordination and delivery will be the sole responsibility of the Institutional Human Subject Review Board.
- 3.5.3.3. The training plan and topics will be known by the University Research Council that will recommend for approval and execution.
- 3.5.3.4. The training timetable will be decided upon by the Institutional Human Subject Review Board.
- 3.5.3.5. Training will happen twice a year during regular academic semester
- 3.5.3.6. Dates of the trainings will be announced at the beginning of each academic semester.
- 3.5.3.7. The trainer(s) will be selected by the Institutional Human Subject Review Board and may be an internal or external professional researcher or a member of the Institutional Human Subject Review Board.

3.5.4. A Certificate of Attendance will be awarded to each researcher who attended the training course for a minimum of four (4) face-to-face hours. It will indicate the topic, number of hours attended, and date of delivery.

3.5.6. The certificate will provide proof that the individual researcher has actively engaged and participated in a training session that is geared to support and protect the use of human subjects in any type of research study.

#### **4. Research involving animals**

4.1. Similarly, ethics in research involving animals has also received attention from researchers and the general public for many years. Animals are often used in experiments where the results will be applied to humans, for example in testing new drugs and treatments for diseases affecting humans. Animal rights groups and concerned members of the public in many parts of the world argue that conducting research using animals is a cruel act and should be stopped, whereas the scientists involved in such work argue and believe that the research is necessary. There are several factors that researchers working with/on animals have to take into consideration during the execution of the study. These include:

- 4.1.1. Ensuring that approval has been obtained from the relevant regulatory structures, and that the protocol to be used is reviewed and approved before commencing with the study.
- 4.1.2. Researchers must prove to the relevant bodies that there are no other alternative ways to conducting the study without using animals.
- 4.1.3. The benefits (to human health) of using animals must far outweigh the negatives (the effect on animals).
- 4.1.4. The findings of the study must have benefits to the area of work in the long term, particularly for humans and animals, beyond the current study.
- 4.1.5. Ensure minimal harm and suffering to the animals.
- 4.1.6. Other researchers must be able to replicate the study at a later stage.

4.2. While the issue of research ethics remains a strong focus in studies involving experiments on human and/or animal subjects, it has also extended to other study disciplines that involve humans in research in different ways, such as the social sciences and humanities. For example, “voluntary consent” is also essential in studies where humans will be interviewed as a form of data collection, and where focus group discussions will be conducted. The protection of confidentiality of participants is also very important.

## **5. Policy focus**

- 5.1. This policy articulates the procedures to be followed by PMU in dealing with unethical practices in research, as well as the mechanisms to be employed for impartial fact-finding and fair adjudication of any allegations in this area. A framework of principles and standards has therefore been formulated to help identify and address such ethical issues.
- 5.2. The main concern of this policy is quality of the research process – maintaining the highest standards of integrity, impartiality and respect for data is essential. The university places great emphasis in that a risk assessment approach is done to safeguard the physical and psychological wellbeing of participants and researchers in all affected studies.
- 5.3. The relationship between PMU research agenda and the broader social and physical world (both present and future) is critical. Furthermore, social relationship within the world of research that includes collegiality, protection of human subjects, animal welfare, and institutional integrity, is of utmost importance.
- 5.4. This Research Ethics policy does not relieve PMU employees from their responsibilities to comply with professional ethics guidelines, applicable national laws and/or regulations of the KSA, other university statutes, rules and policies. The policy shall be administered in compliance with the laws and regulations of any agency sponsoring and funding the research in question.
- 5.5. Research Ethics policy has strong links to two other policies that are critical in the regulation of research activities, namely: Research integrity, and Misconduct in research, discussed in subsequent sections of this document.

## **6. Research integrity**

- 6.1. Research integrity at PMU refers to high quality and robust practice across the full research process of planning, conducting and implementing research, recording and reporting of results, and the dissemination, application and exploitation of findings.
- 6.2. Research integrity actively adheres to the ethical principles and professional standards essential for the responsible practice of research. The adoption of the principles and practices must become a personal credo rather than impositions by policymakers. Research integrity therefore starts with the individual researcher. Good research practices and conduct include, but is not limited to:

- 6.2.1. Intellectual rectitude in designing, planning, proposing, performing and reporting research.
  - 6.2.2. Precision in measuring individual contributions to research proposals and reports
  - 6.2.3. Impartiality and objectivity in peer review
  - 6.2.4. Collegiality in academic and research exchanges, including communications and sharing of resources
  - 6.2.5. Transparency in conflicts of interest or potential conflicts of interest
  - 6.2.6. Protection of human participants in the conduct of research
  - 6.2.7. Humane care of animals in the conduct of research
  - 6.2.8. Adherence to the mutual responsibilities between investigators and their research participants
- 6.3. Quality and commitment throughout all stages of research is critical in maintaining research integrity. The qualities in this regard can be described as:
- 6.3.1. Creating a culture of *honesty and integrity*
  - 6.3.2. Striving for *excellence* in research to produce and disseminate high quality work
  - 6.3.3. Allowing *openness* to scrutiny and debate research methods and results
  - 6.3.4. Promoting good and *rigorous* research practice
  - 6.3.5. Recognizing *accountability and responsibility* as key elements of a researcher work
  - 6.3.6. Emphasizing *care and respect*, the researcher should ensure the dignity, rights, safety and wellbeing of all involved in research
- 6.4. Researchers must show a commitment to ensuring research integrity through:
- 6.4.1. Meticulous recording and retention of research data
  - 6.4.2. Publishing and disseminating research accurately and responsibly
  - 6.4.3. Adhering to all legal and ethical requirements and guidelines produced by appropriate bodies
  - 6.4.4. Safeguarding own interests, those of the University and those of any funder or collaborating body in relation to intellectual property
  - 6.4.5. Identifying, declaring, and addressing any conflict of interest, whether actual or potential, as soon as they become apparent
  - 6.4.6. Fostering the open exchange of ideas and ensuring robust management practices to safeguard the honesty and integrity of the research conducted, and

6.4.7. Being constantly trained and developed to attain the necessary research skills for future role and career development.

## **7. Misconduct in research**

7.1. Research misconduct occurs when a researcher intentionally includes falsified/manipulated data in his/her research report, and/or uses other people's work without acknowledgement and proper referencing (plagiarism). Fraudulent activities also form part of misconduct in research. Another act of misconduct occurs when an individual excludes data or information from the research report so that the study can show a pre-conceived conclusion. In general, any deviations from the standard practice in the main research steps such as proposal writing, methodology, the review of research report etc. may constitute misconduct. PMU is committed to the highest standards of research integrity and takes very seriously any concerns raised about the conduct of research undertaken by any of its faculty, staff or students.

7.2. In addition to actions of research misconduct mentioned in the previous paragraph, there are many others including but not limited to:

- 7.2.1. Failure to obtain ethical clearance, where relevant, prior to commencing with the research.
- 7.2.2. Disclosing participants' information, including personal details, without their consent.
- 7.2.3. Claiming, for example, that a manuscript was peer-reviewed prior to publication, when in fact it was not reviewed.
- 7.2.4. Paying individuals to participate in a research project (thus bribing participants).
- 7.2.5. Inappropriate use of research funds and inaccurate reporting of expenditure.
- 7.2.6. Deliberate misinterpretation of research findings.
- 7.2.7. Using false credentials and related information.
- 7.2.8. Intentionally delaying the publication of results to pursue a personal agenda.
- 7.2.9. Complete deviation from what the researcher had proposed to do in the research proposal, without a valid justification for the change and without following the correct channels prior to changing the research direction.

## **8. Procedure for dealing with reported cases of misconduct in research**

8.1. The relevant university structures (discussed later in this policy) will ensure that any claims or reports of misconduct among its faculty, staff, and students are not ignored but dealt with accordingly. An extensive investigation will be conducted following a claim to ensure that individuals do not fall victims of false and malicious allegations. To conclude that an act of research misconduct occurred, there should be evidence that:

8.1.1. The researcher significantly violated or departed from accepted practices of the relevant discipline.

8.1.2. The researcher was aware that his/her act constitutes misconduct and that the action(s) was intentional.

8.1.3. Valid evidence was presented to the relevant office by the complainant.

8.2. The University encourages all its faculty, staff, and students to report any acts of misconduct to their relevant College head or the Dean of Research Development.

This should be done anonymously in writing, and evidence of misconduct must be included. Individuals who come forward and report misconduct will not be penalized or victimized, and their details will be kept confidential in cases where these have been disclosed to the reporting office. In cases where the misconduct was done by a non-PMU partner, for example a funding agency, business partner, or government official, the university will address the issue with the affected party.

8.3. Disciplinary actions will be taken against any person found to have made false allegations against other colleagues.

## **9. Implementation**

9.1. This Policy will be interpreted and implemented in a manner that is consistent with the vision and mission of Prince Muhammad Bin Fahd University as a research community committed to the principles of honesty, trust and collegiality and to the idea that fair play must prevail at all times.

9.2. It applies to all individuals who conduct research at PMU, and those at affiliated institutions who submit research proposals to the PMU research ethics review system. Conducting research at PMU means research work undertaken by PMU faculty, staff and students and by all persons who use PMU facilities for the creation, dissemination and publication of research work. The policy applies to both funded and unfunded research activities.

9.3. Some of the provisions of this policy deal with matters that are also treated in other guidelines and regulatory documents of PMU. Where appropriate, reference should be made to these guidelines and documents.



## **10. Roles and Responsibilities**

### **10.1. University Research Council (URC)**

10.1.1. The University Research Council, chaired by the Vice-Rector of Academic Affairs, is the body responsible for developing, coordinating and ensuring the implementation of the University's policies and procedures for the ethical conduct of research.

10.1.2. The URC may pursue registration or accreditation of the Research Ethics Committee members with external agencies, as appropriate and valuable.

10.1.3. It must also recognize the level of commitment required for the Research Ethics Committee service and will take this into account before the Scientific Council of PMU in decisions relating to assessment, promotion and distribution of workload.

### **10.2. Research Ethics Committee (REC)**

10.2.1. Members of the Research Ethics Committee will be appointed by the University Research Council. The Committee will consist of the following persons:

10.2.1.1 The Chairs of the male and female sections of the University

10.2.1.2 A faculty representative of each campus

10.2.1.3 The PMU legal counselor

10.2.1.4 The Dean of Research Development

10.2.1.5 Two external community representatives not affiliated with PMU.

10.2.2. The REC may draw upon additional members, as may be necessary for it to effectively fulfill its responsibilities.

10.2.3. The main responsibilities of REC are to:

10.2.3.1. Develop and review policies, guidelines and procedures relating to research ethics at PMU.

10.2.3.2. Respond to issues raised by colleges and to audit and provide general guidance to the Campus Committees.

10.2.3.3. Promote training in ethics in research at PMU.

- 10.2.3.4. Provide assurance of the ethical conduct of research at PMU, particularly that involving human and animal subjects.
- 10.2.3.5. Serve as the Final Appeal Committee on research ethics disputes for all Campuses.
- 10.2.3.6. Report to the University Research Council on the ethical conduct of research at PMU.

10.2.4. The Committee will meet at least twice per year. The Chairman may act on behalf of the Committee between meetings, but will provide a report on any actions taken to the rest of the Committee at the next meeting.

## **11. Steps to follow when reporting unethical practices and misconduct**

### **11.1. Research Ethics Committee (REC) involvement**

11.1.1. The Research Ethics Committee is authorized to take corrective action, including the rescinding of approval of a research project, in the event that any allegation of misconduct in research is upheld.

11.1.2. REC will invite any member of the University community who has information related to potential research misconduct to report such information to the committee. It is expected that the member of the community shall cooperate with REC in the review of allegations and the conduct of inquiries and investigations.

11.1.3. The Research Ethics Committee will act promptly within 15 calendar days. Within that period, the Committee will interview the main players and witnesses and will gather data beyond any that may have submitted by the relevant college.

11.1.4. REC will bring the case to the attention of the University Research Council, and Council shall decide whether there is sufficient evidence to warrant an inquiry.

11.1.5. The Research Ethics Committee shall make all reasonable and practical efforts to protect or restore the reputation of persons alleged to have engaged in research misconduct, against whom no finding of research misconduct is made.

## **11.2. University Research Council (URC) involvement**

11.2.1. The University Research Council (URC) will be informed by the REC about the case under investigation.

11.2.2. Council will verify whether the complaint falls within the definition of research misconduct as per policy, whether the information provided is credible, and whether it is sufficiently specific to enable potential evidence of research misconduct to be identified.

11.2.3. URC shall make all reasonable and practical efforts to protect or restore the reputation of persons alleged to have engaged in Research Misconduct, against whom no finding of research misconduct is made.

11.2.4. The University Research Council shall ensure that institutional members and or upper level university administration may not retaliate in any way against complainants, witnesses, or other participants in the investigation.

11.2.5. After confirming allegations of research misconduct, URC may take actions deemed necessary to (a) protect the research subjects; (b) protect the interests of faculty, staff, and students; (c) preserve evidence, (d) protect University resources, and/or (e) comply with applicable KSA laws and/or regulations.

11.2.6. URC may take an action to impose minimal burdens on the affected people in the case, to the extent reasonable and practical, and to comply with applicable University Statutes, General Rules and other regulatory policies applicable to the University.

11.2.7. If any evidence of criminal conduct is discovered during the investigation, the University Research Council may notify and present the case and allegations to the University Legal Counsel.

## II. Research Grievance Policy

### 1. PURPOSE

The purpose of the Research Grievance Procedures policy is to create a prompt, fair, and consistent process and mechanism for the resolution of complaints, grievances or problems related to the conduct of research at Prince Muhammad bin Fahd University.

### 2. STATEMENT

2.1. A grievance is a complaint that is made in writing (hard copy) and addressed to the university Dean of Research Development concerning a research decision, made by a person or group of persons working for PMU, which directly or adversely affects the complainant as an individual in his/her professional academic capacity.

2.2. General dissatisfaction with a University policy on the grounds that the policy is unfair or inadvisable does not constitute a grievance. A grievance may be submitted by any faculty member meeting the requirements of 2.1.

### 3. Procedure to be followed when filing a grievance

3.1. A grievance arising out of a decision made by a person or group of persons acting in an official university capacity shall be filed with the Dean of Research Development.

3.2. The faculty member shall file his/her complaint in writing, stating the decision or action that has been taken that forms the basis of the grievance and all ground(s) on which it is being challenged. The written grievance shall also include a statement that the complainant has:

3.2.1. made informal efforts to resolve the dispute with the parties concerned and the manner that these efforts took, resulting in an unsuccessful resolution

3.2.2. made informal efforts to resolve the dispute by consulting with his/her Chair and/or Dean and the manner that these efforts took.

3.3. Upon receipt of the written complaint the Dean of Research Development will review the complaint and will, within 14 working days, attempt to resolve the dispute to the satisfaction of all parties. Failing a successful resolution the Dean of Research Development will have a further 14 working days in which to form a committee to formally investigate the complaint(s). The committee's formal title will be 'Research Grievance Committee'. The committee will be made up of:

3.3.1. The Dean of Research Development (Chair).

3.3.2. The Dean of the College/department that the complainant reports to.

3.3.3 An Associate Chair or Chair from the female campus.

3.4. No more than 45 days should elapse between the complainant filing the grievance and a decision being reached and conveyed to the concerned parties. An unreasonable delay in the processing of a grievance can, in itself, be grounds for a grievance. If, because of an absence of key persons from the campus or other unforeseen circumstances, there will be a delay in the processing of the grievance the Dean of Research Development will inform the complainant of the situation in writing, giving a reasonable estimate of when a decision can be expected.

3.5. The Dean of Research Development will notify the concerned parties (complainant and defendant), in writing, within **seven (7)** working days of the decision reached by the Research Grievance Committee.

## **1. Appeal Procedures**

4.1. If a complainant is not satisfied with the decision reached by the Research Grievance Committee then he/she has the right to appeal the decision. An appeal must be submitted in writing within **21 working days** of receiving the decision of the Research Grievance Committee to the Vice Rector of Academic Affairs (VRAA).

The appeal must contain the following information:

4.1.1 A statement which forms the basis of the grievance and all ground(s) on which it is being challenged.

4.1.2 The date at which the original grievance was submitted to the Dean of Research Development.

4.1.3 A copy of the decision reached by the Research Grievance Committee.



## **III. Administration of Copyright Policy and Procedures**

### **1. PURPOSE**

To ensure that the intellectual work and outputs, as well as the rights of creators of the work at Prince Mohammad bin Fahd University, is protected in accordance with international and national laws.

### **2. STATEMENT**

All Faculty appointed by and working at PMU have a responsibility to understand and comply with national and international copyright laws. The University reserves the right to terminate system access of users/faculty who repeatedly infringe on the rights of copyright owners in accordance with the national copyright laws. Faculty, staff, and students must familiarize themselves with the University policies on intellectual property, patents, and copyrights.

### **3. Copyright and policy at the University**

3.1. The PMU Library collects a wide variety of materials in print and electronic format and makes them available to staff and students at the University in keeping with national Copyright Law. The library complies fully with copyright law in its collection development activities, its electronic licensing of products and in its borrowing and lending activities.

3.2. The copyright law of the Kingdom of Saudi Arabia governs the making of reproductions of copyrighted material, including photocopying, printing, and downloading. Any individual who uses such a reproduction for purposes in excess of "fair use" may be liable for copyright infringement.

3.3. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction should only be used for the purpose of research, private study, or scholarship. If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of 'fair usage', that user may be liable for copyright infringement.

3.4. PMU reserves the right to refuse a request for copying material(s) if, in its judgment, fulfillment of the order would involve violation of copyright law.

3.5. Use of some databases may also be restricted by license agreement with the data provider. Specific information is posted with some databases, but most are limited to use by faculty, students, and staff of the University.

#### 4. **Obtaining permission to use copyrighted works**

The Library helps students, faculty, and staff members at the University to seek copyright permissions needed in conjunction with teaching and research. The Library is also available to support the researcher to obtain copyright permission.

#### 5. **Copyright law in Saudi Arabia** **Intellectual Property**

5.1. Saudi law protects the rights of both Saudi nationals and foreigners in the field of intellectual property. Every natural or legal person that suffers injury resulting from trademark law infringement may claim damages. Expert proceedings regarding the infringement are permissible, and damages for trademark and patent infringements are punitive and provide compensation for the injured person.

5.2. Intellectual property rights are also indirectly protected by the provisions of the Regulations for Combating of Commercial Fraud, which enable Saudi authorities to impose numerous sanctions for the production of counterfeit products or unlicensed copies of products, including, among other things, seizure and destruction of such products, and/or imposing monetary fines for violation of the provisions of the regulations.

5.3. The burden of proof in intellectual property cases lies with the plaintiff, and it is an onerous responsibility, unless the unlawful products are seized. Under Saudi law, documentary evidence does not supplant oral evidence, but the two combined may support each other. In trademark cases, discovery may provide the injured party with material and documentary evidence which alleviates the burden of proof.

5.4. Orders are enforced in respect of payment of money by effecting seizure against the party losing the case. With regard to prohibitory injunctions and writs of mandamus, orders are submitted to civil right directorates of the Interior Ministry to execute. Non-compliance with such orders may result in the imprisonment of the offender and the seizure of his/her assets.

## 6. Copyright Law

6.1. The copyright law in the Kingdom of Saudi Arabia was issued as per **Royal Decree No. M/41 dated August 30, 2003** and published in the **Official Gazette No. 3959 dated September 19, 2003.**

6.2. Protection is granted to authors whose works of art are expressed in writing, sound, drawing, photography or motion pictures and computer software. The rights of the author are protected for his/her lifetime and for a period of fifty (50) years after his/her death.

6.3. The protection shall cover all intellectual works whether they are literary, scientific or artistic of any type as far as the distribution of the same in Saudi Arabia is allowed.

6.4. Foreign intellectual works are protected in accordance with the international conventions, of which Saudi Arabia is a member.

6.5. No registration procedures of copyright are available in Saudi Arabia. According to the Berne Convention for the Protection of Literary and Artistic Works, registration in the home country extends to all member states. However, any printed materials or computer programs can be distributed in Saudi Arabia only after receiving an approval from the Ministry of Information. For this purpose, a local distributor is essential. The distributor should obtain the necessary approval locally.

6.6. The Kingdom of Saudi Arabia is a member of the Universal Copyright Convention and the Berne Convention for the Protection of Literary and Artistic Works.

## IV. Inventions, Patents and Licensing Policy

### 1. PURPOSE

The Inventions, Patents and Licensing policy is intended to encourage scientific research and scholarship within Prince Mohammad bin Fahd University, produce inventions and patents, and protect and explain the rights of the University and the inventor.

### 2. STATEMENT

2.1. Faculty at Prince Mohammed bin Fahd University is dedicated to excellence in teaching, research, and providing services to the community and the industry. While the purpose of doing research and developing innovative solutions is to contribute to the body of knowledge in the field of research and solve real-world problems, it may also result in the development of patents and commercial applications. The University will pursue filing of patents and license agreements for their development and marketing, and ensure proper utilization of such inventions in commercial products.

2.2. This policy applies to University employees (faculty and staff) and students who work on research projects supported by the University. Financial returns as an outcome of inventions will be shared between the inventors and the University.

### 3. University Responsibilities

- 3.1. Establish an office for Patents and Technology Licensing.
- 3.2. Establish individual policies on patents, inventions, copyrights, and technology licensing.
- 3.3. Establish policies on the rights and responsibilities of all stakeholders.
- 3.4. Prepare a PMU Patent and Copyright Agreement, and other relevant documents.
- 3.5. Protect the intellectual property rights of all stakeholders including the University, College, Department, Faculty, Staff, and students.
- 3.6. Receive all disclosures of submitted inventions.
- 3.7. Determine whether the invention has a potential to be patentable and if it is commercially viable.

- 3.8. File for patent or licensing of an invention, in a timely manner.
- 3.9. Negotiate patent/license agreements.
- 3.10. Ensure faculty compliance with the patents and invention policies.
- 3.11. Share royalties from inventions assigned to the University with the inventor.
- 3.12. Implement any contract changes, revenue sharing, and license agreements.

#### **4. Faculty Responsibilities**

- 4.1. All faculty, staff, and students participating in research must sign the PMU Patent and Copyright Agreement.
- 4.2. Submit application for the invention/patent to the Dean of his/her college by using the Invention Disclosure Form.
- 4.3. Ensure compliance with the University policy on patents, inventions, and intellectual property rights.
- 4.4. Cooperate with the Deanship of Research Development regarding licensing possibility for the invention and patent.
- 4.5. Cooperate with the University in the filing of forms and relevant legal documents for patenting an invention, in a timely manner.

#### **5. Revenue Sharing**

- 5.1. The University will share the revenue that it obtains from the commercialization of the inventions with the inventors.
- 5.2. The University may consult with external individuals or organizations to manage patents/license agreements. The expenses incurred in the process will be deducted before revenue sharing between the inventors and the University.
- 5.3. The revenue that the University receives from the patents/licensing agreements will be distributed as follows: University (30%), Inventor(s) (55%), and Inventor's department (15%)
- 5.4. The Department share shall be used to support research activities within the Department.
- 5.5. If there is more than one inventor, revenue will be shared equally among the inventors, unless there is a written agreement specifying the distribution of revenue.

# V. University Policy Pertaining to Sponsored Project Proposals

## 1. PURPOSE

The purpose of this policy is to ensure that Prince Mohammed bin Fahd University remains committed to providing the necessary resources and infrastructure for the successful execution of sponsored project proposals.

## 2. STATEMENT

PMU supports research through sponsored project proposals coordinated by the Deanship of Research Development and the Office of Sponsored Projects. The scope of commitment from PMU varies from the project proposal being sponsored by PMU or by any external funding agencies within the Kingdom of Saudi Arabia or from a foreign country. The proposed projects by nature differ in outcomes and duration and involve risk in its successful completion and deliverables. The general issues rotate around the changes in availability of resources or funds. The policy identifies possible issues and provides a platform to resolve any issue related to commitment from PMU with regards to sponsored project proposals. This policy covers issues pertaining to internal projects sponsored by the University.

## 3. Policy Content

- 3.1. The Vice Rector of the Academic Affairs, the Dean of Research Development, and the Office of Sponsored Projects are committed to provide additional guidance and support to clarify any special concerns that faculty may have regarding sponsored proposals.
- 3.2. PMU is committed to cost sharing of research and scholarly activities that were approved in the sponsored project proposals and any new requests are subject to review by the Dean of Research Development.
- 3.3. PMU will not make any additional payments to researchers whose projects have exceeded the stipulated project timeframe, i.e. completion time as indicated in the proposal. Any request for additional time and funding should be directed to the Dean of Research Development, accompanied by an appropriate justification/motivation stating the reasons for the delay.
- 3.4. The University will not make a financial commitment and will not provide additional resources to projects that were not submitted for review and were not approved by the Dean of Research Development.

- 3.5. Any proposal requiring specialized equipment should be approved by the Dean of Research Development who will liaise with the PMU procurement department to ensure compliance with PMU and Government regulations before approval.
- 3.6. If a member of the project leaves the project or the University, the research committee must be informed immediately and a separate approval to seek a replacement member should be submitted. This procedure must be followed for student assistants, staff and faculty members.
- 3.7. If the Principal Investigator leaves the project, it is his/her responsibility to inform the research committee so that a new PI is assigned to the project.
- 3.8. PMU is committed to the timely release of funds as scheduled in the project and within budget. However appropriate documentation has to be submitted on time before a request for the funds release is made.
- 3.9. If any changes in the prices of the equipment/software approved in the project are incurred, a request to update the project budget has to be submitted well in advance to the Dean of Research Development for approval and budget adjustment, accompanied by the relevant documentation, i.e. new quotation/invoice.
- 3.10. Any member including the PI of a sponsored project cannot offer summer teaching if the member has included summer salaries as part of his commitment to projects. The member is committed fully towards teaching in summer and hence cannot avail further research grants during this period.

#### **4. Benefits**

This policy provides a platform for the stakeholders to follow procedures to seek PMU commitment towards sponsored research projects.

#### **5. Implementation**

- 5.1. The Office of Sponsored Projects and the Dean of Research Development are responsible for providing and educating the PIs and department chairs about the university commitments pertaining to sponsored project proposals policy during the project proposal stage. The PI will further share the policy with the members of the project to make them understand the terms, conditions and procedures.
- 5.2. The Office of Sponsored Projects and the Dean of Research Development will communicate any changes or updates to the policy to the Principal Investigators, who will then update members of their projects.

## 6. Roles and Responsibilities

- 6.1. The Deans, Associate Deans, Department Chairs and Associate Department Chairs are responsible for ensuring compliance with PMU university commitments pertaining to sponsored project proposals policy and procedures. They also assume the responsibility of overseeing the processes and resolve related problems.
- 6.2. The Principal Investigator (PI) should oversee and report all issues seeking university commitments to the sponsored projects and ensure compliance to PMU policy.
- 6.3. The Director of Finance should work with the Office of Sponsored Projects and the Dean of Research Development to establish and update university commitments pertaining to sponsored project proposals policy.
- 6.4. The Office of Sponsored Projects and the Dean of Research Development is responsible for educating PIs and department chairs about the university commitments pertaining to sponsored project proposals policy.
- 6.5. The vice Rector is responsible for the approval of any changes in the proposed budget and financial commitments that were not included in the initial proposal as part of the university commitment.
- 6.6. PMU procurement department, the Office of Sponsored Projects in coordination with the Dean of Research Development are responsible for obtaining equipment/software for any sponsored research proposal in compliance with PMU policy and government regulations.



## VI. External Funding Policy

### 1. PURPOSE

The purpose of the External Funding Policy Pertaining to Sponsored Project Proposals and its procedures is to ensure that faculty, students and visiting scholars and researchers know their rights and duties with regard to research projects and proposals that require external funding.

### 2. STATEMENT

2.1. PMU will increasingly seek and depend on external funding sources to support research programs, scholarship, and instruction. Due to the growing complexity of conditions attached to sponsored projects, as well as a trend toward greater diversity in sources of funding, this policy applies to the preparation, review, and submission of proposals for external sponsorship.

2.2. The Sponsored Project Office of PMU (under development), a unit of the Deanship of Research Development, assists the research community in its efforts to secure external funding by providing high quality administrative and financial services to ensure proper stewardship of those funds.

2.3. The Office of Sponsored Projects of PMU supports and enhances PMU's reputation while working to achieve university strategic goals with broad services in the following areas: preparation, review, and submission of proposals.

2.4. The Office of Sponsored Projects is responsible for assisting faculty and staff with the development of their research proposals, guidance in the management of grants and contracts, and providing training on research administration topics. The Office will achieve this aim by providing the research community with experienced faculty and resourceful staff to assist them in securing externally funded projects and programs.

### **3. Responsibilities of the Office of Sponsored Projects**

- 3.1. Provide assistance in interpreting application guidelines and sponsor requirements
- 3.2. Offer consultations with faculty/staff seeking external funding
- 3.3. Assist faculty with proposal development, including ensuring budgets are appropriate, and application forms are completed correctly
- 3.4. Manage electronic application submission processes
- 3.5. Ensure proposals meet PMU approval requirements
- 3.6. Provide institutional approval for all proposal submissions
- 3.7. Track proposal submissions, awards, rejections and resubmissions

### **4. Academic Policy for Sponsored Projects**

- 4.1. Only PMU academic members, faculty and staff, are eligible to submit proposals to outside agencies. Academic members include the ranks of Assistant Professor, Associate Professor and Professor. Other staff members include assistant researchers and senior administrators.
- 4.2. The policy regulates the academic and administrative responsibilities of faculty members, staff and senior administrators to whom the policy is addressed. Any exceptions to this policy must be approved by the appropriate College Dean, the Vice-Rector of Academic Affairs and Dean of Research Development.
- 4.3. Prince Mohammad bin Fahd University requires all Principal Investigators to review their obligations for stewardship of sponsor funds and compliance with applicable regulations. For that purpose, specialized briefings will be conducted. Those ineligible for Principal Investigator status may be identified as Associate Investigators, but not as Co-Principal Investigator.

- 4.4. The faculty member seeking approval for an external grant proposal must submit his/her request to the Office of Sponsored Projects under his/her name as the responsible individual for the scientific, technical, and fiscal direction of the project. Submission of the proposal in the name of a "nominal" Principal Investigator who then delegates primary responsibility to an ineligible Principal Investigator is inconsistent with the responsibility of academic faculty for the intellectual direction of the University and is not permitted.
- 4.5. Any faculty member, staff and senior administrator involved in the seeking of external funds must be aware that the sponsored projects should have an educational component, typically evidenced by student involvement (either with or without charge to the project). In case of master thesis or doctoral dissertation, the faculty member will determine the degree of involvement of the students in the sponsored project and what sections of the project may apply for the student's master thesis or doctoral dissertation.
- 4.6. A faculty member, staff and or senior administrator who is the Principal Investigator may be absent from campus yet remain engaged in a project. In cases where the Principal Investigator of an on-going sponsored project is disengaged from the project for a period of three months or more, another academic member must be named as acting Principal Investigator to assume the direction of the sponsored project, subject to approval of the sponsoring agency.
- 4.7. Any academic faculty, staff and or senior administrator must know the rights and safeguards of a sponsored project. The Principal Investigator must follow all PMU policies related to the use of human subject, laboratory animals, or hazardous radiological and bio hazardous substance including DNA.
- 4.8. A faculty member, staff or senior administrator, based on the Office of Sponsored Projects requirements, must be aware of the construction of a final protocol that must be approved by the University Research Council, Institutional Human Subject Review Board, and finally the Vice Rector of Academic Affairs. Compliance of all government rules and regulations for securing external funding are also applicable.

## VII. Cost Sharing Policy

### 1. PURPOSE

The purpose of the Cost Sharing policy and procedures is to ensure that the cost sharing proposals, accountability and reporting are consistent with the requirements set by PMU and the sponsor.

### 2. STATEMENT

- 2.1. Prince Mohammad Bin Fahd (PMU) recognizes the importance of an active research community, thus on occasion; PMU will share the cost of sponsored research, programs, and projects.
- 2.2. PMU recognizes that the contributions of the sponsors may not always be sufficient to satisfy the expenses of the sponsored research, programs or projects, and it also recognizes the encouraging and facilitating force of having a policy that share costs with sponsors in certain occasions.
- 2.3. Therefore, the University (PMU) establishes a policy to share costs in certain occasions in order to capitalize on all potential sponsored research, programs and projects. This policy will enable the University (PMU) to encourage sponsors and to demonstrate its commitment to research and creation of knowledge.
- 2.4. Similarly, the policy will enable the University (PMU) to effectively compete with other Universities for limited funded research, programs and projects.
- 2.5. Cost sharing is that fraction of the overall cost of sponsored research assumed by the University or the Department. In other words, it is that element of the research cost not borne by the sponsor. For example, if the sponsor contributes **SAR 300,000** for a project with a total cost of **SAR 350,000**, the University (PMU) **may decide to cover the deficiency (SAR 50,000)**. The SAR 50,000 is cost shared.

- 2.6. The University is aware of the potential financial implications of cost sharing and has therefore identified and defined the types of allowable cost and forms of cost sharing in the policy content section.

### **3. Policy Content**

- 3.1. The University (PMU) in regards to cost sharing has identified key cost components as follows:

3.1.1. Project costs: This includes all allowable costs for the research, program or project. Allowable costs are all reasonable and directly related costs of the project. Project costs must be justified with proper Cost sharing: The fraction of cost of research, program and project assumed by the University (PMU). An evidence of a proposal, approval, and budgetary steps for cost sharing must be maintained and verifiable.

3.1.2. Cash or in-kind contributions: This includes cash or in-kind contributions provided by the recipient or a third party, of funded research, program, or project. The value (market value) of the in-kind contribution must be ascertained and proper accounting record maintained.

- 3.2. In addition to the above cost segregation scheme, PMU in line with the prevailing standards has categorized cost sharing into the following groups:

3.2.1. Mandatory cost sharing: This is the cost sharing mandated by the sponsor. Certain sponsors may require the University (PMU) to contribute a certain amount in order to be eligible for the funded research, program or projects.

3.2.2. Voluntary cost sharing: This includes resources or effort voluntarily contributed by the University (PMU).

3.2.3. Voluntary committed cost sharing: This includes resources or efforts voluntarily committed and budgeted for and are part of the agreement of the funded research, program and projects.

3.2.4. Voluntary uncommitted cost sharing: This includes costs that are above the voluntary committed cost sharing.

### **4. Benefits**

Cost sharing accrues benefit to all the stakeholders within the academic environment and beyond. Potential benefits include but are not limited to the following:

- 4.1. It will encourage students to apply for sponsored research, programs and projects for their final year thesis or projects
- 4.2. It will encourage the faculty to apply and compete for funded research, programs and projects
- 4.3. It will encourage sponsors to advance their interest through research, programs and projects.
- 4.4. It will encourage the sponsors to fund research, programs and projects.
- 4.5. It will increase the overall output of research, programs and projects of the University (PMU).

## **5. Implementation**

The implementation of cost sharing policy is facilitated through the office of the Deanship of Research Development, the Office of Sponsored Projects and PMU Management. The following steps are necessary for effective implementation.

- 5.1. The need for cost sharing should be identified
- 5.2. Cost sharing proposal should be submitted, along with detailed cost breakdown
- 5.3. The Deanship of Research and Graduate Studies, the Office of Sponsored Projects and PMU Management will assess the feasibility and the potential of the proposal
- 5.4. Pre-approval may be obtained, with any request for additional information
- 5.5. The proposal may be accepted or rejected after a careful deliberation on the merits of the proposal and the cost sharing commitment.
- 5.6. If approved, budgetary details for accounting purpose must be prepared, and a special general ledger account must be maintained to keep track of cost for financial reporting purpose
- 5.7. Disbursements related to cost sharing maybe linked to the progress of the research, programs and projects. For example, disbursement dates may set in advance to coincide with specific achieved milestones
- 5.8. A system to monitor and avoid cost over-runs
- 5.9. Final reporting of the cost sharing at the completion of the research program or project.

## **6. Roles**

- 6.1. The Deanship of Research development has a role of fostering research and research related issues within the University. This includes, animating all stakeholders into creating a healthy research community, with an expectation of

incrementally contributing to knowledge creation; enriching the academic environment, and meaningful contribution to society at large through value-added research, programs and projects.

- 6.2. The role of the Office of Sponsored Projects at PMU is to
- 6.2.1. Provide assistance in interpreting application guidelines and sponsor Requirements
  - 6.2.2. Offer consultations with faculty/staff seeking external funding
  - 6.2.3. Assist faculty with proposal development, including ensuring budgets are appropriate, and application forms are complete and correct
  - 6.2.4. Manage electronic application submission processes
  - 6.2.5. Ensure proposals meet PMU approval requirements
  - 6.2.6. Provide institutional approval for all proposal submissions
  - 6.2.7. Track proposal submissions, awards, rejections and resubmissions

## 7. Responsibilities

- 7.1. The Deanship of Research Development is responsible for all research related issues of the University (PMU)
- 7.2. The Office of Sponsored Projects is responsible for assisting the researcher in all related issues pertaining to the applications for external funding.
- 7.3. Any other Committee established for overseeing research and research related efforts





## VIII. Internal Grant Proposal Review, Endorsement

### 1. PURPOSE

The purpose of the Internal Grant Proposal Review, Endorsement, and Pre-Approval policy and procedures is to ensure that an optimal review, endorsement and pre-approval are ascertained for all internal grant proposals. Prince Mohammad Bin Fahd University (PMU) recognizes the importance of active research community, thus PMU encourages its faculty and students to apply for internal funding for their proposed research, programs and projects.

### 2. STATEMENT

- 2.1. Internal grant is the internal funding administered by the University (PMU) to support its faculty and students in their research effort. In addition to external funding, PMU deems it necessary to further enhance research output through internal funding schemes to promote and strengthen research.
- 2.2. The University (PMU) is attuned to the fact that a strong research community will enhance creativity and career aspirations of their faculty, and strategically position the University (PMU) for recognition within the broader global academic environment. Hence external funding may not always be viable or sufficient for ongoing research, programs and projects, this policy will supplement and encourage continuous research effort.
- 2.3. Therefore, the University (PMU) establishes a policy to provide internal funding for certain proposed research, programs and projects within budgetary constraints. This policy will enable the University (PMU) to encourage its faculty and students to be active in pursuing meaningful research, and most importantly, it highlights the commitment by the University (PMU) to maintain an active research community.
- 2.4. Similarly, the policy will enable the University (PMU) to meet research requirements by accreditation agencies, and other governmental oversight agencies.

- 2.5. The University (PMU) recognizes the extent of this commitment, and has therefore identified and defined the process of reviewing grant proposals, necessary endorsements and pre-approval in the policy content section.

### **3. Policy Content**

The University (PMU) in regards to internal grant funding has identified specific procedural steps for achieving optimal decision making and minimizing delays in grant approval process. The following sequential events are necessary to optimize the approval process:

- 3.1. A grant proposal is to be initiated by the potential recipient of the grant
- 3.2. The research topic or question(s) must meet the requirements of the University (PMU) in terms of the potential of the proposed research and its incidental contribution to the local community and the society at large.
- 3.3. The research proposal must satisfy all conditions set by the University (PMU). At some intervals, the University (PMU) might have a specific strategic research orientation; therefore, applicants for internal funding should maintain an interactive mode with the Deanship of Research Development for direction.
- 3.4. Endorsements from department chairs or the dean of the college may be needed for the pre-approval of the research proposal.
- 3.5. Pre-approval does not constitute a final approval and funding, therefore pre-approved proposals may need some adjustments, and the final approval contingent upon availability of funds and viability of the projects.

### **4. Benefits**

Internally funding research proposals accrues benefit to all the stakeholders within the academic environment and beyond. Potential benefits include but are not limited to the following:

- 4.1. It will encourage students to apply for internal grants to carry on their final year thesis or projects
- 4.2. It will encourage the faculty to actively pursue their research aspirations without assuming significant financial burdens
- 4.3. It will encourage external parties to collaborate with PMU faculty. Such collaboration may yield learning new skills or expertise from the external collaborators.
- 4.4. It will demonstrate to external sponsors that the University (PMU) is committed to research and may serve as source of encouragement for potential sponsors to fund research, programs and projects.

4.5. It will increase the overall output of research, programs and projects of the University (PMU), and therefore enhance the overall reputation of the University (PMU).

## **5. Implementation**

The implementation of internal grant proposal review, endorsement and pre-approval policy is facilitated through the office of the Deanship of Research Development and PMU Management. The following steps are necessary for effective implementation.

- 5.1. Timely public announcement of availability of Internal grants, along with accompanying conditions
- 5.2. The Deanship of Research Development collects all proposals
- 5.3. Verify the endorsements and assess the suitability of the proposal
- 5.4. The Deanship of Research Development along with any designated committee will gauge the feasibility and potential of the proposed research proposal.
- 5.5. Pre-approval will be communicated to the applicant on a timely manner to facilitate further processing
- 5.6. Pre-approval will be communicated to all concern parties (such as designated committees, concern University officers, and the endorsers).
- 5.7. The pre-approval will provide direction regarding any modifications, timeline and any other conditions needed for a full submission, for final approval
- 5.8. Pre-approval process will ensure that conflict of interest and or any other violations are address appropriately and on a timely manner
- 5.9. Endorsers will elaborate on the reasons for endorsing the proposed research for internal funding
- 5.10. The applicant may be required to elaborate on the reason for lack of endorsement. However, applicants are still encouraged to submit an application in the absence of endorsement.
- 5.11. A system to monitor all applications and pre-approvals with appropriate signatures will be maintained.
- 5.12. A system of maintaining records and reporting of all applications for internal grants, and pre-approvals will be maintained.

## **6. Roles**

The Deanship of Research Development has a role of collecting all initial applications for internal grants. The Deanship will review the applications, endorsements, in conjunction with all other conditions. A designated committee may be assigned a responsibility to review and verify certain elements of the proposed research. Other senior academic officers may also contribute at this initial stage of the proposal.

## 7. Responsibilities

- 7.1. The Deanship of Research Development is responsible for all research related issues of the University (PMU).
- 7.2. Any other designated committee by the Rector or the Vice Rector could be established for overseeing the pre-approval stage.

## 8. Procedures

Establishing and implementing internal grant review, endorsements and pre-approval policy required a sequence of events as follows:

- 8.1. Establishing a policy related to internal grant review, endorsements, and pre-Approval
- 8.2. An efficient and effective mechanism for soliciting and collecting internal grant proposal
- 8.3. Systematic evaluation procedures, for timely feedback to the applicants
- 8.4. Careful deliberation on the merits of the proposal, cost and the potential benefit of the research
- 8.5. Aligning the research proposal with the overall research objective of the University (PMU)
- 8.6. Obtaining required signatures or approval for pre-approval
- 8.7. Timely communication with the applicants
- 8.8. A system of reporting all pre-approvals to designated committees and other concerns.

# IX. Graduate and Undergraduate Student Research

## 1. Purpose

The purpose of the Graduate and Undergraduate Student Research policy is to identify process, procedures, and responsibilities related to undergraduate and graduate Research Assistants (RAs) hiring and management.

## 2. Statement

Graduate and undergraduate research assistants are university students, who are employed in part-time for research activities happening in Prince Mohammad bin Fahd University. Assistantships provide students relevant academic training. They may also help students to fulfill their degree requirements.

## 3. Eligibility Criteria

3.1 All students applying (or holding) for research assistants must be currently enrolled as a student in the University

3.2 Students must have good academic standing

3.3 Graduate RAs must have a degree from an accredited university

3.4 Research activity performed must be relevant to student's academic major.

Candidates applying for assistantship in other departments should provide relevant proof of proficiency in the relevant subject areas.

## 4. Selection Process

4.1 Available RA positions are announced through appropriate channels to all student community at PMU.

4.2 All received applications are reviewed by the relevant departments and final offer letters are issued from PMU Deanship of Research Development.

## **5. Terms of Appointment**

5.1 RAs are paid according to pay rates set under PMU HR policies. The rate of pay is different for graduate and undergraduate assistants.

5.2 Appointment for undergraduate RAs may not exceed 10 hours per week.

5.3 Appointment for graduate RAs may not exceed 20 hours per week

5.4 A Research Assistant may terminate his/her appointment at any time giving at least two weeks notice.

5.5 Any employment disputes by RAs are handled by the relevant college according to standard HR policy for disputes and grievances.

## **6. Duties**

6.1 The main responsibility of a RA is to support departmental research activities.

6.2 Duties assigned to RAs are such that they contribute to the student's professional training.

6.3 Undergraduate RA contributions may be used as part of their senior project report.

6.4 Graduate RA contributions may be used as part of their project thesis.

6.5 RAs are expected to spend up to 25 to 50% of their time supporting research activities of PMU depending on terms of appointment.

6.6 Departments may assign RAs to specific faculty member to support his/her research activities.

## **7. Dismissal**

Appointments are continued until the end of semester or until a specific date mentioned in the appointment letter. Nevertheless, the appointment may be terminated in the event of:

7.1 Failure to perform assigned activities in a satisfactory manner.

7.2 Failure to maintain required number credit hours.

7.3 Failure to maintain requirements of continued enrollment.

## **X. Undergraduate Student Salaries Charged to Research Projects Policy**

### **1. PURPOSE**

The purpose of the Undergraduate Student Salaries Charged to Research Projects policy and its procedures is to ensure that undergraduate students receive salaries for their contribution to research projects as per Prince Mohammad bin Fahd University policy.

### **2. STATEMENT**

PMU is committed towards undergraduate student salaries only for those projects funded by PMU. PMU is not responsible for any financial commitment to the members including undergraduate students if the projects are funded from external agencies within the Kingdom of Saudi Arabia or from a foreign country. However, PMU will facilitate the procedures needed to secure financial obligations from the external organization for the project completed as per approved terms and conditions.

### **3. Policy Content**

The following points will clarify the policy for undergraduate student salaries charged to research projects.

- 3.1. The undergraduate is a PMU student, must hold a full time status and must be currently registered in any program of study in PMU.
- 3.2. The undergraduate student is entitled to receive salaries charged to research project until the end of the project or until the end of his undergraduate studentship, whichever takes place first.
- 3.3. The undergraduate student should be compensated in line with the terms and conditions of the project and as per the effort extended towards the project.
- 3.4. The maximum amount allotted to any undergraduate student serving a project cannot exceed SR 7200 per annum. This is equivalent to a monthly salary of SR 600 per month, given that the student served for the full year without breaks.

### **4. Benefits**

This policy provides a platform for the stakeholders to follow procedures for smooth execution of payments for the undergraduate students who serve on any research project funded by PMU.

## **5. Implementation**

- 5.1. The Dean of Research Development is responsible for providing and educating the Principal Investigator and department chairs about the undergraduate student salaries charged to research projects policy during the project proposal stage. The PI will further share the policy with the members of the project to make them understand the terms, conditions and procedures.
- 5.2. Any changes or updates in the policy have to be informed by the Dean of Research Development to the PI. The PI will then update the members of the project.

## **6. Roles and Responsibilities**

- 6.1. The Deans, Associate Deans, Department Chairs and Associate Department Chairs are responsible for ensuring compliance with PMU undergraduate student salaries charged to research projects policy and procedures. They also assume the responsibility of overseeing the processes and resolve problems.
- 6.2. The Principal Investigator (PI) should oversee and report all financial commitments to the members of the sponsored projects and ensure compliance of PMU policy.
- 6.3. The Director of Finance should work with the Dean of Research Development to establish and update undergraduate student salaries charged to research projects policy.
- 6.4. The Dean of Research Development is responsible for assisting PIs and department chairs in complying with the undergraduate student salaries charged to research projects policy. The Dean is further responsible for the approval of the workload distribution in the sponsored project.
- 6.5. The Vice Rector is responsible for approving any changes in the proposed budget and financial commitments that were not included in the initial proposal.
- 6.6. The Payroll office is responsible for processing the salaries as per the policy after approval from PI and the Dean of Research Development as per the approved terms and conditions.
- 6.7. The Human Resource Office is responsible to process any personnel documents necessary for this policy.

# **XI. Emergency and Non-Emergency Hazardous Materials Release Response Policy**

## **1. PURPOSE**

The purpose of the hazardous material release policy is to:

- 1.1. provide safe environment for faculty, staff, students, visiting scholars, and general public who work with or may be affected by the hazardous material;
- 1.2. Safeguard PMU property and research assets;
- 1.3. Provide overall requirements and procedures for the management of hazardous materials in laboratories, work spaces, facilities etc.
- 1.4. Systematize response procedures throughout the University.

## **2. STATEMENT**

2.1. PMU policies are intended to establish and maintain procedures to:

- 2.1.1. Immediate response to incidental release of hazardous materials;
- 2.1.2. Clean-up of hazardous materials releases;
- 2.1.3. Maintain records of all incidental hazardous materials releases and accidents; review the cause and reduce reoccurrence.
- 2.1.4. Report incidents to outside agencies as required;

2.2. This policy provides strategic levels of response depending on the type and amount of risk involved. These procedures are promptly and consistently followed depending on the information details provided by the reporting members.

2.3. In compliance with Saudi Government regulations PMU has developed and implemented a hazardous material release response plan to minimize hazards to human health and the resulting environment from any unexpected release of hazardous materials. It outlines procedures that apply to all PMU faculties, students, staff, research personnel and visiting scholars at PMU.

### **3. Responsibilities**

#### **3.1. PMU Environmental Health & Safety (EHS):**

- 3.1.1. Establishes a planning team to contain and control the release of hazardous material;
- 3.1.2. Create response procedures for local personnel to non-emergency releases;
- 3.1.3. Ensuring safe working environment by implementing laws and regulations;
- 3.1.4. Registering every incident pertaining to emergency and non-emergency releases.
- 3.1.5. Interface with university workers and general public to create awareness of the policy and procedures.

#### **3.2. Security Department :**

- 3.2.1. Register incidental reports as provided by the informer and notify the EHS team with relevant information;
- 3.2.2. Protect university assets and shield the incidental area.

#### **3.3. Department Chairs, Research personnel, and Supervisors:**

- 3.3.1. Supervise and ensuring the safety of students and other members at the work area;
- 3.3.2. Provide training in emergency response procedures to the working members and ascertain the same to be posted noticeably in the working area.

#### **3.4. Faculty, Students and Staff:**

- 3.4.1. Observing sound health and safety practices in compliance with university policies and procedures.
- 3.4.2. Prompt reporting of any emergency or hazardous situation as per procedures;
- 3.4.3. Provide assistance to the emergency response personnel;
- 3.4.4. Follow clean up procedures if release is nonhazardous.

### **4. Standard Procedures in case of all Incidents**

4.1. These procedures are planned to provide an array of response to incidents involving hazardous materials appropriate to their magnitude and risk. The evaluation of the hazardous material release will be made by the (EHS) in consultation with the Lab Supervisor.

4.2. In the event of a potential time lapse in hazard evaluation or complexity of the hazardous release, an emergency protocol will be applied to safeguard the personnel involved and the environment.

## 5. Procedures to be followed for Hazardous Materials Release

5.1. In any circumstance, when personnel become aware of a hazardous material incident:

5.1.1. If in the Chemistry Laboratory, call **8886** (PMU control room) regardless of the nature of the incident and notify the Department chair, Research personnel or supervisor to the earliest.

5.1.2. In case on non-availability of the above members leave appropriate messages by using their contact numbers posted in and around the work area.

5.1.3. In case of non-hazardous chemical release at any work place, call at **849-8886**.

5.1.4. In case of a non-emergency release the first responder should undertake clean up procedure using appropriate protective equipment; namely gloves, protective eyewear, closed toe shoes, long pants and lab coat.

5.1.5. If the first responder is doubtful of the nature of emergency, assume it as critical and apply the emergency protocol.

5.1.6. Proceed to the university nursing center in case of injury.

5.1.7. Any report of an emergency must be notified promptly by the Nursing Center (849-9725) to Security Office (849-8566).



## **XII. Chemical Hygiene Plan and Chemical Hazard Communication Policy**

### **1. PURPOSE**

The policy of PMU is to provide the University community with a safe and healthful work environment and awareness of the hazards which may be posed and the method of handling hazardous chemicals.

### **2. STATEMENT**

In compliance with the Saudi Government regulations PMU has developed the Chemical Hazard Communication policy and procedures that creates awareness about the potential health hazards of chemicals to employees. The policy and its procedures ensure that all PMU faculty, students and staff are aware of the CHP for laboratories. Chemical Health Plan provides information and guidance to help conduct lab work safely and in compliance with environmental health and safety regulations at PMU.

### **3. Chemical Hygiene Plan (CHP) FOR LABORATORIES**

The Chemical Hygiene Officer (CHO) is an employee designated by PMU, and is qualified by experience, to provide training in the development and implementation of CHP.

### **4. Responsibility of the CHO**

- 4.1. Keeping the senior administrator (who is the departmental head and a permanent member of environmental health and safety programs at the university) informed on the progress and implementation of the CHP.
- 4.2. Ensuring the safety of personnel working in the laboratory.
- 4.3. Ensuring and monitoring the safe implementation of CHP.
- 4.4. Preparing the Standard Operating Procedures (SOPs) relevant to health and safety for lab activities involving hazardous chemicals.
- 4.5. Preparing protective equipment requirements.
- 4.6. Provision for handling particularly hazardous substances.
- 4.7. Provision for designating specific operations that require prior approval

## 5. Training and information

Every member of the University community engaged in laboratory operations is required to receive training in the chemical safety information both general and laboratory specific, at the time of initial assignment and prior to exposure with Particularly Hazardous Substances, and hazardous operations.

## 6. Minimizing and Controlling Chemical Exposure

- 6.1. Elimination and substitution: removal of hazardous substance from a process or substitution with a less hazardous substance.
- 6.2. Engineering controls: Devices or actions that automatically isolate or limit exposure to hazard.
- 6.3. Chemical fume hood: A device integrated into ventilation system which removes hazardous airborne contaminants by means of unidirectional exhausted airflow.
- 6.4. Personal protective equipment: face mask, gloves, safety goggles, lab coats etc, are the last line of defense against potential exposure.

Work practices: Adhering to proper work practices reduces the chances of exposure to hazardous substances.

## 7. Administrative controls

- 7.1. **Chemical labeling:** Every hazardous substance received by or leaving the university is labeled by identifying its level of hazard, appropriate hazard warning, manufacturer, importer details etc.,
- 7.2. **Training:** provide training in CHP prior to first assignment to all lab workers.
- 7.3. **Laboratory-specific standard operating procedures (SOPs):** prepared by knowledgeable laboratory personnel ensuring thorough understanding of procedures by lab workers.
- 7.4. **MSDSs:** Material safety data sheets are prepared by manufacturer describing the physical and chemical properties of the hazardous chemicals. These data sheets provide all information such as toxicity, procedures for cleaning spills and leaks, storage etc. MSDSs are made available to all lab users.

Additional protection: Principal investigators/lab supervisors provide necessary information and assistance to protect laboratory personnel for work with hazardous chemicals.

## 8. Medical Surveillance

PMU's campus-based medical clinic is intended to address certain work place hazards and provide evaluation, and urgent medical treatment:

- 8.1. In case the laboratory personnel is exposed to hazardous substances
- 8.2. An employee develops signs or symptom's associated with exposure to hazardous material.
- 8.3. In case an incidence happens as a result of accidental spill or leak in lab
- 8.4. An exposure assessment revealing an overexposure

## 9. Chemical Inventory/Life Safety Boxes

- 9.1. Each laboratory, department shall compile and maintain a chemical inventory of all hazardous chemicals, normally present in those areas.
- 9.2. Update chemical inventory annually
- 9.3. Create chemical storage maps/room maps indicating the location of hazardous material
- 9.4. Affix stickers indicating hazards present in the work area and relevant contact numbers in case of emergency or otherwise.
- 9.5. Establish life safety boxes outside each laboratory with all the above information.



## XIII. Financial Reporting and Compliance Policy



### 1. PURPOSE

The purpose of the Financial Reporting and Compliance policy and procedures is to ensure that proper financial reporting and compliance with the terms of the research contracts be maintained for all research, programs and projects (sponsored or internally funded). The procedures are to ensure that proper disclosure is made available to all stakeholders. Prince Mohammad Bin Fahd University (PMU) recognizes the importance of accurate and timely financial reporting and compliance of all related research activities.

### 2. STATEMENT

2.1. Financial reporting and compliance is an integral element of the overall research effort of Prince Mohammad bin Fahd University. This policy is to ensure that proper and timely disclosure of financial information and compliance is to be made available to the stakeholders for effective decision making. Generally, sponsors of research, programs and projects have an informational need of how the sponsored research, programs and projects are executed financially, whether cost allocations are allowable expenses within the sponsored contract agreement.

2.2. PMU recognizes that compliance and financial reporting of research, program and project activities serves an important function of building trust with the sponsors, establishing a policy in this area will strengthen a trusting relationship between the University (PMU) and the sponsors. Accurate and timely disclosure to sponsors will incentivize the sponsors to increase their participation in future research, programs and projects.

2.3. Therefore, The University (PMU) established a policy to provide timely and relevant financial information and compliance disclosure to all. This policy will enhance the credibility of the University (PMU) and maximize future funding for sponsored research, programs and projects.

2.4. Similarly, due to its research related financial transparency and compliance disclosure, the University (PMU) will effectively compete with other Universities for limited funded research, programs and projects.

2.5. The University is aware of the cost – benefit implications of financial reporting and compliance disclosure, therefore overall disclosure (financial and compliance) will focus on materiality instead of volume.

### **3. Policy Content**

The University (PMU) in regards to financial reporting and compliance has identified key steps as follows:

- 3.1. Only allowable costs will be charge to the research, program or project, and proper records including supporting documentations will be maintained
- 3.2. Any no-compliance regarding the terms of the contract agreement will be identified and addressed on a timely manner
- 3.3. Repeated violations of the terms of the contract agreement may result in the revocation of the contract (sponsored or internally funded)
- 3.4. Recipients of research contract need to periodically furnish the deanship of research with expense reports, reaffirmed compliance statement, and reporting of any violation (advertent or inadvertent), or compromising event, to the deanship of research and graduate studies for advice or consideration.
- 3.5. Interim financial information and compliance report will be generated for the stakeholders
- 3.6 Final financial information and compliance report will be generated for all stakeholders
- 3.7. Any disbursements to recipients will be properly recorded in the specific accounting general ledger
- 3.8. Final financial reports should include a full reconciliation statement, to ensure the sponsors how the funds were spent in a fully compliant manner.

#### **4. Benefits**

Financial reporting and compliance accrues benefit to all the stakeholders within the academic environment and beyond. Potential benefits includes but not limited to the following:

- 4.1. It will inform students about the reporting and compliance requirements and how to maintain proper records and maintain compliance throughout the research, programs and
- 4.2. It will inform faculty about the reporting and compliance requirements and how to maintain proper records and maintain compliance throughout the research, programs and
- 4.3. It will encourage sponsors to fund future research, programs and projects. Transparency in sponsored research, programs and projects is crucial for sustainability and growth of funded research, programs and projects.
- 4.4. It will enhance the credibility of the University (PMU), and can be used a marketing tool for future sponsored projects.

#### **5. Implementation**

The implementation of financial reporting and compliance is facilitated through the office of the Deanship of Research Development and PMU Management. The following steps are necessary for effective implementation.

- 5.1. Identify all compliance areas and financial reporting requirements
- 5.2. Communicate the compliance areas and financial reporting requirements to all stakeholders
- 5.3. The Deanship of Research Development and PMU Management will set up a system to monitor compliance and accurate financial reporting
- 5.4. Violations will be addressed in a timely and effective manner
- 5.5. Stakeholders will be periodically updated with compliance issues
- 5.6. Periodic audit of financial information and compliance
- 5.7. Continuous communication with sponsors regarding the progress of sponsored research, programs and project as it relates to financial reporting and compliance
- 5.8. Final disbursements subject to full compliance with contract terms and financial reporting requirements

#### **6. Roles**

The Deanship of Research Development has a role of ensuring full compliance with contract agreements, including financial reporting. Other designated committee or University officers may serve to monitor and ensure overall compliance with

contract agreements.

## 7. Responsibilities

7.1. The Deanship of Research Development is responsible for all research related issues of the University (PMU), including financial reporting and compliance

7.2. Any other Committee established for overseeing research financial reporting and compliance

## 8. Procedures

Establishing and implementing cost sharing is accomplished through a sequence of events as follows:

- 8.1. Established financial reporting and compliance policy
- 8.2. Monitoring compliance
- 8.3. Timely provision of financial reports or information
- 8.4. Addressing violations or non-compliance in a timely manner
- 8.5. Providing updates on changes in compliance and financial reporting requirements
- 8.6. Providing guidance regarding compliance and financial reporting
- 8.7. Post-research audit for overall compliance





## **XIV. Management of Project Expenditure: Policy and Procedure**

### **1. PURPOSE**

This policy and its procedures are to ensure that the research project expenditures are monitored, well managed and spent in accordance with the research project budget.

### **2. STATEMENT**

2.1. The successful managing of the funds of a research project involves spending funds on a timely manner in order to ensure efficiency in the management of the project.

2.2. The funds allocated to a research project must be spent following the strict guidelines of the budget and keeping clear and transparent justification of all expenditures. This policy is put in place to monitor funds and allocations of any research project in order to ensure that they agree with the requested fund. Following a strict monitoring system of the research project funds ensures a high research conduct, credibility and successful planning.

2.3. The outcomes of adapting a successful management of project expenditure policy will help minimize the risk of mismanagement/corruption, provide smooth transfer of projects' fund and ensure a better performance of researchers in the university. Overall a successful management of funds will lead to a stronger organizational accountability.

2.4. The success of the principal investigator of a research project is measured by the expenditures that happen within the allocated budget and the final report on financial issues based on the stipulated expenditures of the budget. A principal investigator that self-monitors the budget has strong potential for future grant application.

2.5. The role of the University is to monitor and facilitate the transfer of the funds through an assigned project accountant administrator that will enable transparent and efficient spending and monitoring tools.

- 2.6. The management of expenditures policy applies to all funded projects. The policy lists the benefits of providing an efficient managing of research project's expenditures to the different divisions of the university, the means on managing expenditure, the roles and responsibilities of the key personnel such as the principal investigator (PI) and project accountant administrator and the procedures for a successful application of the policy.

### **3. Policy Content**

The management of research project expenditure is a joint task and responsibility between the Principal Investigator (PI) and an accountant administrator assigned by Prince Mohammad bin Fahd University. The roles and responsibilities of each individual is explained in the following sections of this policy as well as the implementation and procedures are detailed in order to provide clarity in the direction of this policy.

### **4. Benefits**

- 4.1. Prince Mohammad bin Fahd University will benefit at large by adopting a transparent system of management research project expenditures that will reinforce credibility and transparency in the management of external funds.
- 4.2. The faculty and students of PMU will be the direct beneficiaries of the policy by ensuring external agencies that research funds granted will be responsibly managed and spent.

### **5. Implementation**

- 5.1. The management research project expenditures policy of Prince Mohammad bin Fahd University ensures that:
- 5.1.1. The Principal Investigator (PI) and the accountant administrator share the responsibility of payments made for awarded grants.
  - 5.1.2. The Principal Investigator (PI) and his/her research staff communicate with the accountant administrator to guarantee a timely receipt of the awarded fund.
  - 5.1.3. The research project PI and accountant administrator keep full documentation of the expenditures receipts.
- 5.2. The policy and its implementation will be evaluated regularly. The first review of the policy will take place after 12 months from its initial implementation. The Dean of Research Development and the academic staff will be consulted during this evaluation. The evaluation criteria will include the degree of compliance with the policy and its effect on the University. The University Research Council and the manager of the Department of Finance will review procedures and check for

compliance. Regular audits of project's expenditure shall take place to determine compliance. Audits will be conducted by appointed accountant administrator.

## **6. Roles**

### **6.1. University Research Council**

6.1.1. Organizes a package for the Principal Investigator (PI) and the designated accountant administrator that includes the following documents:

- 6.1.2. Award letter and conditions
- 6.1.3. Budget breakdown sheet and details
- 6.1.4. Award allocation letter
- 6.1.5. Project Number
- 6.1.6. Award Number
- 6.1.7. Any other specific requirements/obligations

### **6.2. Departments/PIs**

- 6.2.1. PIs ensure that all costs charged to the project account are reasonable, allowable and within the requested budget.
- 6.2.2. Provide progress and technical reports.
- 6.2.3. Ensure a timely submission of project deliverable.
- 6.2.4. Keep records of all receipts and document all expenditures.

### **6.3. Accountant administrator**

- 6.3.1. Review expenditures to ensure all costs of the research project are all within the allocated budget and include a final closeout.
- 6.3.2. Prepare invoices, letter of credit and reconciles billing and payments.

## **7. Responsibilities**

7.1. The Principal Investigator has the main responsibility for both the technical and financial management of the research project. The PI oversees the management of the project within the terms and conditions of funding, observance to reporting requests and timely communication of significant project changes. In relation to the project expenditure, the PI is to:

- 7.1.1. Ensure that all costs charged to the project account are reasonable, allowable and within the requested budget.
- 7.1.2. Provide progress and technical reports.
- 7.1.3. Ensure a timely submission of project deliverable.
- 7.1.4. Keep records of all receipts and document all expenditures.

7.2. The responsibility of accounts and cash receivable management for research projects is shared between the principal investigator (PI) and an appointed accountant administrator. The accountant administrator performs a number of duties to ensure a sensible and timely delivery of the project expenses. These include:

7.2.1. Performing letters of credit drawdowns.

7.2.2. Approving invoices.

7.2.3. Following up on outstanding receivables.

7.2.4. Recording payments

7.2.5. Preparing and submitting financial reports detailing payments and expenses

7.2.6. Reviewing expenditures to ensure all costs of the research project are all within the allocated budget and include a final closeout.

7.2.7. Preparing invoices, letter of credit and reconciles billing and payments.

## **8. Procedures**

8.1. The University Research Council will send the Principal Investigator (PI) and the designated accountant administrator a package that includes the following:

8.1.1. Award letter and conditions

8.1.2. Budget breakdown sheet and details

8.1.3. Award allocation letter

8.1.4. Project Number

8.1.5. Award Number

8.1.6. Any other specific requirements/obligations

8.2. An account number for each project shall be established for each awarded research project. All expenses should be recorded against this number. Once the set-up process has been completed, the award and project numbers will be activated in the general ledger and the PI can spend against the project number. The accountant administrator shall identify payments requested by the PI on the research account number and transfer payment electronically to the PI.

Expenditures are to be charged to the account for which the purchase is intended, must be consistent with the given budget and conditions and should only be incurred from the actual project start and end dates. Any deviation from the awarded budget should be identified and approved by the University Research Council.

# XV. Research Record Keeping Policy and Procedures

## 1. PURPOSE

The purpose of the Research Record Keeping policy and its procedures are to ensure that a clear and proper accessible research records are well-kept and maintained.

## 2. STATEMENT

- 2.1. Keeping and documenting a research project is extremely important as a means of demonstrating excellence in research practice and conduct and in providing evidence of the results obtained and outcomes. Prince Mohammad bin Fahd University policy on excellent research conduct requires that the Principal Investigator (PI) of the project ensures that clear and accurate records are maintained during the life of the project.
- 2.2. The keeping and maintaining of research records serves also the purpose of any potential commercialization of the research project that may rise at any stage. In such instances, documented records provide a solid base for communicating the research and its output.
- 2.3. Research record keeping will ultimately ensure the protection of individual and institutional intellectual rights, e.g. the research copyrights and patent applications originating from research. It will also support the consistency and productivity in management and administration and ensures a better performance of activities within the university.
- 2.4. The outcomes of adapting a successful record keeping policy will: minimize the risk of mismanagement/corruption; provide better access for research records; ensure a better performance of researchers in the university and overall will lead to a better organizational accountability.

- 2.5. The policy applies to funded projects and is recommended to be followed in the conduct of any research. The policy lists the benefits of maintaining research record to the different divisions of the university, the means on implementation including the type of research records, the roles and responsibilities of the key personnel such as the principal investigator (PI) and co-investigators (Cols), the heads of school/department and heads of research centers and the procedures for a successful application of the policy.

### **3. Policy Content**

This policy applies to all records generated, received or maintained by the staff of the university in relation to a research activity. Records and any documentation generated in the course of research either internally- funded or externally funded are subject to the record keeping requirements. Research record could be in either paper or electronic format and refers to four main areas related to the research: records documenting the research process, records documenting the products or outcomes, records documenting the management of the project and records documenting the data generated.

### **4. Implementation**

- 4.1. PMU researchers should be educated about this policy and understand their role in keeping and maintain their research records. The responsibilities of each member and the procedures to ensure a successful, efficient and effective implementation are discussed in the responsibilities and procedure sections.
- 4.2. The University Research Council has the right to gain reasonable access to inspect the produced records and financial procedures associated with the research grants and projects.
- 4.3. The policy and its implementation will be evaluated regularly with the first review of the policy to take place after 12 months from its first implementations. The Dean of Research Development and the academic staff will be consulted during this evaluation. The evaluation criteria will investigate the degree of compliance with the policy and its effect on the University. The University Research Council will monitor the performance of the research record keeping policy. Regular audits of research record keeping shall take place to determine compliance. Audits will be conducted by appointed system administrator.

## **5. Responsibilities**

- 5.1. PMU has an upper hand responsibility to maintain its research records. The Dean of Research Development has the overall responsibility for this policy.
- 5.2. Heads of departments as well as heads of Research Centers have an inclusive responsibility for the management of records generated by their departments' research activities. All records are kept and maintained confidential.
- 5.3. Responsibilities for the relevance, completeness, clarity and security of research evidence rests on the shoulders of the principal investigator (PI). The PI may delegate tasks to other research member of the team including the co-investigators (Co-PIs) and other staff including student researchers and their supervisors and, technical staff. In the case of managing records, the PI must define and document all the arrangement made.
- 5.4. Researchers must keep accurate and clear records of all the procedures followed and the approvals obtained through the research process. This involves initial results as well as the results of the final outcome.
- 5.5. In the case where the PI leaves the University, the head of school, dean of college or in exceptional situations, the dean of research should assume responsibility.

## **6. Procedures**

- 6.1. Research records may include, but not limited to, details of research team, funding, relevant study documentation, data collection procedures, key data collection dates, data analysis, periodic updates on project progress, evidence of peer review, evidence of ethical and other approvals, etc.
- 6.2. Through the life of a research project, research records must be stored and indexed in an efficient manner to be retrieved quickly and easily. This applies for both paper based records and electronic records as follows:
  - 6.2.1 Electronic records: should be organized according to the University Research Council guidelines, where specified or in accordance with University protocols. Confidential electronic records must be protected with either password or other electronic security means. Electronic system should be centrally managed by the IT department and designated staff should ensure a proper backup for all record to prevent any loss of data.
  - 6.2.2 Hard copies (paper based documents) should be stored in resilient containers which are clearly labeled with easily identifiable information and should be securely stored in an allocated space. Confidential record should be locked away in restricted access locations.

- 6.3. In line with the responsibilities section above, the principal investigator (PI) is the designated staff member to maintain a record of all activities which relate to the handling of research records including the content, format, location, transferring or destruction.
- 6.4. In the case of the departure of a staff member, all data and research records for any funded project should remain the property of the university and are subject to the terms of this policy.
- 6.5. New employees who come with existing research contract are expected to comply with this policy when they commence their employment with the university.



## **XVI. Policy for the Institutional Research Agenda**

### **1. PURPOSE**

The purpose of the Institutional Research Agenda policy is to ensure that policies are written and developed to support the research agenda being institutionalized at Prince Mohammad Bin Fahd University.

### **2. STATEMENT**

- 2.1. Prince Mohammad Bin Fahd University research agenda is key for becoming the protagonist in the development of the society of the Eastern province of the Kingdom of Saudi Arabia. A well-articulated institutional research agenda can assist essential contributors and intended beneficiaries to visualize the link between research and community needs, systems outcomes, and national development.
- 2.2. Prince Mohammad Bin Fahd University research agenda is set to influence internal and external funding agencies to support the expansion of research at all institutional levels.
- 2.3. The Institutional Research Agenda is defined for the purpose of this policy as the development and execution of multidisciplinary research areas that will strengthen the research culture of PMU in order to ensure visibility and high standards in the university community not only of the Kingdom of Saudi Arabia but in the GCC region.
- 2.4. At PMU, we believe that research should be directly oriented to the economic prosperity of KSA which depends upon knowledge creation and learning with explicit implications to the region itself. In order to have an impact on the society, PMU believes that its role as a university in the knowledge production, application, dissemination, and integration of the knowledge in teaching should be thematic and not only discipline centered.
- 2.5. The seed funds aim not only to encourage individual projects with due respect to academic freedom but will mainly support the “Institutional Research Agenda” based on the KSA trends and needs.
- 2.6. The following emerging research topics could be considered as potential guiding factors of the research agenda that will rule and govern the research culture at Prince Mohammad Bin Fahd University.

2.7. The emerging themes are:

2.7.1. Energy and Environmental Studies (i.e., green building, environmental health, energy generation, storage, transport, conversion, management, environmental impact)

2.7.2. Graphical System Design

2.7.3. Nanotechnology (i.e., fluid, solid, smart materials, smart structures)

2.7.4. Enabling Disabled Individuals (i.e., special education, special needs, people with disabilities)

2.7.5. Youth and Youth Development

2.7.6. Revenue Diversification in KSA (i.e., other sources than oil: tourism and hospitality; human development and culture sustainability; improvement of the well-being of the Saudi citizens)

Three other areas of interest are under exploration by the PMU Management for their prioritization in the Institutional Research Agenda which are:

1. The multi-attributes and root causes of “terrorism” behavior and their social, anthropological, and economic impacts on the country victims.
2. Knowledge Economy.
3. Digital Society.

### **3. Criteria for Institutional Research Areas**

The research areas for development at PMU must:

- 3.1. Allow the development of new programs or electives addressing undergraduate and postgraduate students.
- 3.2. Have an immediate impact on the business society of the Kingdom of Saudi Arabia.
- 3.3. Be multidisciplinary in order to facilitate internal and external collaborative research between faculty members and students.
- 3.4. Seek for the development of a Center of Excellence in a specific area in short-term followed by the creation of a Research Institute in the long term. The creation of the Center for Excellence represents Phase I and the Research Institute constitutes Phase II in the implementation of the “Institutional Research Agenda”.
- 3.5. Ensure the proper mechanisms to recruit and hire faculty with specific research agendas and interests in one of the above mentioned areas.



# XVII. PMU Research Award Selection Criteria

## Policy

### 1. PURPOSE

Prince Mohammad Bin Fahd University is proud to take concrete actions to enhance the productivity and competitiveness of its researchers in applied strategic research with impact on the Saudi business/Industry society. As part of the strategy, the University will give Research Award each academic year for the best researcher.

### 2. STATEMENT

- 2.1. This award honors annually a distinguished faculty member of PMU in his field of specialization. At the time of the award, the eligible faculty should have a minimum of two years at PMU and has obtained at least one renewal of contract. Self or peer nominations are accepted. The Award Committee will make a quantitative judgment based on the attached factors where “applicable” in order to make a ranking and a recommendation to the Rector for his final decision.
- 2.2. The candidate should send updated CV, a short autobiography, a photo, and fill in the below Nomination Form, highlighting his major achievements during the last two years such as:
  - 2.2.1. Originality and significance of your research (demonstrate how your research has contributed to advancing the boundaries of your discipline).
  - 2.2.2. Research impacts (describe the impact and benefits of your research on the industry, society, or the culture and show evidence of the impacts on the Kingdom of Saudi Arabia)
  - 2.2.3. Research rigor and quality (provide evidence of the sustained quality of your research and academic performance during your academic career; provide evidence that you are still an active researcher with sustainable productivity during the last two years).
  - 2.2.4. Nominations should be submitted to the Dean of Research Development who will forward them to the Researcher Award Panel of Judges who will make recommendations to the Rector.
  - 2.2.5. This is a highly selective award to recognize the successes of the PMU faculty in research. It will only be awarded when there is a viable candidate. Nominees not selected may be considered for future awards.



## QUANTITATIVE RATING FORM FOR PMU BEST RESEARCHER AWARD

**To be completed by the candidate**

<b>Name of candidate</b>	<b>Department</b>

Item No.	Category	Reference to Resume	Score	Total Score
1.	Number and quality of full papers of refereed articles published or accepted( <b>ISI</b> ) <b>Single Author</b>		<b>3</b>	
2.	Number and quality of full papers of refereed articles published or accepted( <b>Lead Author</b> )		<b>2</b>	
3.	Number and quality of full papers of refereed articles published or accepted( <b>Non-ISI</b> ) <b>Single Author</b>		<b>1</b>	
4.	Number and quality of full papers of refereed articles published or accepted( <b>Non-ISI</b> ) <b>Multiple Authors</b>		<b>0.5</b>	
5.	Number and quality of full papers of the conference proceedings( <b>International</b> ) <b>Single</b>		<b>1.5</b>	
6.	Number and quality of full papers of the conference proceedings( <b>National/Regional</b> )		<b>1</b>	





Item No.	Category	Reference to Resume	Score	Total Score
17.	Number of times you have been Discussant at national and international conferences		<b>0.25</b>	
18.	Number and quality of unpaid consulting reports		<b>0.10</b>	
19.	Number of times involved with International Organizations (United Nations, World Bank, International Monetary Fund, UNESCO, World Health Organization, Food and Agriculture Organization, International Agency for Conservation of Nature, International Energy Agency, Renewable Energy and Energy Efficiency Partnership, International Energy Agency, International Renewable Energy Agency, Arab League, World Organization for Animal Health, Commonwealth of Learning, International Bureau of Education, Organization for Islamic Cooperation, World Environment Organization, etc.)		<b>0.75</b>	
20.	Innovation and technology introduction in written teaching materials		<b>0.5</b>	
21.	Research networking with external scholars for start-up research projects		<b>0.5</b>	
22.	Number and quality of Master or Ph.D. thesis supervision. Number and quality of Post-doctoral supervision		<b>1</b>	
23.	Number of time of being Master or Ph.D. member in Examining Committees		<b>0.25</b>	

Item No.	Category	Reference to Resume	Score	Total Score
24.	Number and quality of publications with <b>supervised</b> students		<b>0.3</b>	
25.	Number and quality of academic papers reviewed for reputable journals		<b>0.25</b>	
26.	Member of editorial boards including major journals in the field		<b>1</b>	
27.	Identifying and involving external researchers in PMU activities		<b>0.25</b>	
28.	Coaching/training/co-authoring with junior faculty at PMU		<b>0.5</b>	
29.	Number and quality of contribution to capacity building through coaching or training HQP: (Highly Qualified Personnel)		<b>0.3</b>	
30.	Number of times being Guest Editor of a scientific journal		<b>0.75</b>	
31.	Number of times being Keynote Speaker in conferences and mainly in plenary sessions in national or international conferences		<b>0.5</b>	
32.	Number and quality of the media you were invited to present the findings of your research		<b>0.3</b>	
33.	Brief description of impact of your research on the Saudi Society and the neighboring community of PMU (Eastern Region)		<b>5</b>	
<b>GRAND TOTAL</b>				

# XVIII. Assessment Policy for the Internal Research

## Grant Proposals

### 1. Purpose:

To develop a Review and an Approval Process based on merits of the Internal Grant Proposals.

### 2. Statement:

Proposal that qualify the pre-screening will be evaluated by the University Research Council including eventually the external members with the approvals of the department chairs and deans. The technical approval process will be dictated by certain procedures including the timeline of the approval process. A standardized assessment procedure should be fulfilled no later than three weeks from the submission date.

The researchers whose proposals are provisionally selected may be invited by the University Research Council for a short presentation (20 minutes followed by a question period of 10 minutes) for the final approval.

The evaluation of the research proposals will be based on factors such as Clarity and Originality of the research problem, Relevance and Significance of the study, Quality of Methodology, Closeness to the country's strategic priority segments and needs. Preference will be given to projects that develop meaningful contributions to society problems and excellent connectivity to the industry.

### Selection Criteria

Proposals that qualify pre-screening will be reviewed by the University Research Committee. The following criteria inspired from different external funding bodies will be adopted to select the best proposals:

1. **Relevance of the proposal:** The degree to which the proposal addresses present or future issues.
2. **Objectives:** The specificity, measurability, attainability and time frame.

3. **Contribution:** How significant are the contributions to the discipline, the society, and to which degree the contribution meets the external funding priorities?
4. **Proposer's Past Scholarship/Expertise:** expertise of the applicants in relation to the proposed research.
5. **Research Methodology:** the degree to which the proposal represents a creative and scientific approach (quantitative or proven qualitative methods) to the accomplishment of objectives.
6. **Feasibility:** potential for longer-term sustainability and continuity of the research program beyond the period of the proposed research.
7. **Cost effectiveness:** budget is complete, realistic, and justifiable.
8. Chances to get **external funding are demonstrated.**

The assessment procedure will be used by the appropriate PMU approval bodies could be summarized in the below "Research Evaluation Form" that will be also used by the referees:

Evaluation Items	Weight	<u>Poor</u> (between 1% and 50%)	<u>Fair</u> (between 51% and 70%)	<u>Good</u> (between 71% and 80%)	<u>Very Good</u> (between 81% and 90%)	<u>Excellent</u> (between 91% and 100%)
1. Originality	5%					
2. Relevance of the research proposal to the KSA Strategic initiatives and trends	15%					
3. Research Plan	5%					
4. Research Methodology	12%					
5. Literature Survey	5%					
6. Relevance of Investigators (Background & Experiences)	15%					
7. Research Budget	5%					
8. Other Impacts (visibility, ranking, citations)	3%					

Evaluation Items	Weight	Poor (between 1% and 50%)	Fair (between 51% and 70%)	Good (between 71% and 80%)	Very Good (between 81% and 90%)	Excellent (between 91% and 100%)
9. Relevancy to Industry and Commercialization Potential	5%					
10. Closeness of the Proposal to the Institutional Research Agenda	20%					
11. Potential to get external funding	10%					

1. **Score =  $S_p = (\sum W_i X_j)$**  where W stands for the weight of each criterion “i” and X stands for the assessor’s evaluation per criterion “j”). The ranking “R” of the projects “p” will be based on the average of the scores of the assessors ( $R_p = \frac{\sum S_p}{N}$ ) where N stands for the number of assessors.

2. The proposal for internal research grant is:

- ✓ Highly Relevant (≥90%): \_\_\_\_\_
- ✓ Relevant (between 70% and 89%): \_\_\_\_\_
- ✓ Little Relevant (≤ 69%): \_\_\_\_\_

3. Final and Overall Judgment (based on the ranking and the availability of the University budget):

- ✓ Accepted: \_\_\_\_\_
- ✓ Accepted with comments: \_\_\_\_\_
- ✓ Should be resubmitted with minor or major changes: \_\_\_\_\_
- ✓ Rejected: \_\_\_\_\_ (Main Reasons \_\_\_\_\_)

# XIX. Policy for Payment Authorization for Internally Funded Research Projects

## 1. PURPOSE

The Principal Investigator incurs various types of expenses as he performs his research activities. The purpose of this policy is to detail the steps to pay the Principal Investigator for the expenses related to his participation in a research program in full compliance with the **approved** internal grant budget. This policy is to ensure that any valid expense is paid in a fair and equitable manner, in a timely manner, and that they are reported and recorded as per the PMU Policies.

## 2. STATEMENT

- 2.1. PMU supports the direct purchase by the University of all approved research equipment and PMU prefers that research expenses are paid directly by the University through the appropriate University buying and paying methods after the Principal Investigator fills in the appropriate forms as mentioned below.
- 2.2. Only, under specific circumstances and with prior approval, travel reimbursement of expenses or travel advances might be considered appropriate from petty cash (maximum SAR 5,000) if a pre-approval is obtained. Flight Booking should be made through the travel agent of the University.
- 2.3. Money transfer or checks will be the **regular** use of payment for most of the expenses as well as the as the salary payments for research assistants or technicians. Same should apply for honorarium of consultants if the expense is approved in the final approved budget. Money transfers substantially reduce the potential for loss or misappropriation of funds. Receipts must be itemized and show method of payment. The receipt of the registration in a conference must show the conference name, date, and the method of payment. Detailed hours sheet used by the research assistants, technicians or consultant should be submitted to obtain the authorization of payment.
- 2.4. Payment of expenses or payment of purchases through check or money transfer should be done within 30 days of the submission of the Research Payment Authorization Form is submitted by the Principal Investigator or from a return from a research trip.
- 2.5. The academic staff must submit the Research Payment Authorization Form along with the approved budget and all the required receipts/quotations (if any) to the Dean of Research Development for signature. The signature of the Vice Rector is required. Then the RPAF will be transferred to the Finance Office
- 2.6. After submission of all the required invoices as per the PMU policies, the finance department will arrange for the money transfer if pre-approval is obtained.
- 2.7. This policy is applied to all research units and activities such as: individual research projects, research groups, research centers, and endowed chairs.

2.8. The Finance Department should keep the Dean of Research Development and the Vice-Rector informed about the payment done or rejected and explains eventually the rejection cause.

2.9. If the research involves human subject or animals, please follow the policy at this regard to get the approval of the IRB Committee. Submit your documents to the Dean of Research Development who will contact the VR at this regard.

2.10. If the expenditure indicated in this Research Payment Authorization Form is not aligned with the approved budget for the internal grant proposal, please complete the Internal Research Transfer Budget Form (IRTBF) and submit it to the Dean of Research Development. The signature of the Vice Rector is required.

2.11. The Finance Director will advise on purchasing equipment. Finance Department will make sure that the equipment bought is included in the assets of the University. All the equipment remains the property of PMU. The equipment should be housed in an existing laboratory.

2.12. Concise semiannually progress reports are required to be submitted to the Deanship of Research Development. Upon completion of the research project on or before the deadline, a detailed Final Report about the research activities undertaken is required for the final payment. **It is also required for future submission to internal grants.**

2.13. The Final Report should also include the Final Report Template filled and one-page executive summary where the PI should indicate if the deliverables mentioned in the proposal are achieved such as the following executive summary information:

2.13.1. Preliminary dissemination of results expected: Paper(s) submitted to conferences and/or paper(s) presented in conferences.

2.13.2. Outcomes should be obvious and convincing: Paper(s) submitted to peer-reviewed journals and/or paper(s) accepted for publication (please attach the acceptance letter or a copy of the reprint).

2.13.3. Grant Proposal(s) submitted for external grants.

2.13.4. External formalized collaboration with the industry, if relevant.

2.13.5. PMU affiliation should be used and shown in conferences and publication papers.

2.13.6. A footnote in the conferences and publication papers should thank PMU for funding the research.

2.13.7. Final Report on the budget execution and potential avenues of potential research.

2.13.8. Relevancy of the study to KSA.

# Roadmap for Sustainable Growth in Research at PMU

