

Procedures and Guidelines for the University-Funded Research Projects

Introduction:

Encouraging scientific research in theoretical, applied, and technological aspects is one of the goals of the university. To achieve this and promote intellectual and scientific authenticity, the university provides its faculty members, lecturers, teaching assistants, and students with the facilities available in laboratories and libraries to conduct research in their areas of interest.

In addition, to support the idea of forming specialized and targeted scientific groups, and promoting the sustainability in scientific research, researchers are required to define a research identity that reflects the activity and specialization of their group, and link it to the university's research identity and priorities in topics that the university deems scientifically or practically important. As such, the university funds some research according to the applicable regulatory rules.

After reviewing Article 28, Paragraph (3/1) of the Higher Education Council and Universities System, and Article (49) of the Unified Regulation of Scientific Research in Universities, the Scientific Council approved a set of rules that regulate the research funding process, in light of the Unified Regulation of Scientific Research adopted by the Royal Decree No. 7/B/4403 dated 2/4/1419H. These rules were reviewed, and some regulatory rules were added to align with the goals of the Deanship's funding process as follows:

Article 1: Definitions

1. **Funded Scientific Research:** It is an achievement that adheres to the recognized scientific principles and is the result of individual or collective efforts, or both, and is funded by the university according to the rules for funded research.

2. Directed Research Group: It is a group of researchers with diverse and integrated interdisciplinary specialties, exceptional research capabilities and expertise that ensure the quality and density of scientific production in activities that are compatible with the university's research priorities. Funding for the directed research group is the first stage in a pipeline for funding high-impact projects, so that the continuity of funding for the directed research group is maintained through other stages in advanced funding programs.
3. Group Leader/Primary investigator (PI): A faculty member with at least the rank of Assistant Professor who represents the participating research group in the research and is responsible for supervising and managing the group and representing it to the university.
4. Co-Investigator (Co-I): A faculty member who participates with a group of researchers to complete a contracted study, and it is permissible for the participating researcher to be from outside the university.
5. First Author: The first author whose name is mentioned in the list of authors in scientific publications.
6. Corresponding Author: The author who deals with the publishing process and is responsible for the correspondence during the publishing process.
7. Research Team: It is a group of researchers with exceptional research capabilities and expertise that ensure the quality and density of scientific production.
8. Contract: It is the agreement contract concluded between the university and the principal investigator for the purpose of funding research projects.
9. University: It is the University of Tabuk.
10. Deanship: It is the Deanship of Scientific Research at the University of Tabuk.
11. First Party: the University of Tabuk.
12. Second Party: The research team represented by the principal investigator.

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13. Reviewer: A faculty member or expert who is assigned to examine and study scientific proposals and their outputs.
 14. Consultant: A faculty member or expert assigned by the principal investigator to provide consultation in a research field.
 15. Proposal form: It is the template form for the research proposal that includes objectives, hypothesis, methodology, and expected results.
 16. Funding: It is the financial support provided by the University of Tabuk for research projects submitted by faculty members and meet the specified conditions set by the Deanship of Scientific Research.
 17. Directed Research Group Funding Programs: These are the funded research programs that are announced annually by the Deanship to support directed research groups. Funding the directed research group is the initial stage in a pipeline of funding for high-impact projects, where funding for the directed research group is continued through other stages in advanced funding programs.
 18. Final Report: It is the report submitted by the principal investigator according to the approved template by the Deanship of Scientific Research, including a copy of the required research in its final published form.
 19. Final Financial Report: It is the financial report submitted by the principal investigator about their research project, indicating all expenditure aspects.
 20. Research Termination: It means stopping the support, closing its financial transactions, and terminating the contract with the second party.
 21. Research Completion: It means completing the administrative and financial procedures approved by the Deanship of Scientific Research.
 22. Publication of Research: It means publishing the research in one of the reputable publishing outlets determined by the Deanship.

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23. Plagiarism: If the researcher takes the work, in whole or in part, with more than (30%) of his previous work, referring to it or not referring to it, whether it is a master's thesis, a doctorate, a book, or a research paper, with the exception of research that extends from research published in scientific conferences.
24. Scientific infringement: If the researcher takes the text or content completely from another work as it is or with changes made to camouflage the arbitrator without referring to it, or translates the works from one language into another without referring to it, or if he/she claims for themselves a work of others, such as scientific projects or such as a documented invention, a registered patent, or a scientific innovation proven otherwise, or if a researcher involved in a work claims that it is his/her work alone.
25. Biological Specializations: Specializations that deal with living organisms, whether human, animal, or plant.
26. Intellectual Property: It is the output of human intellectual creations, which include, but are not limited to, patents, copyrights, trademarks, designs, models, specifications, concepts, processes, technologies, databases, brand names, plant varieties, trade secrets, and more.
27. Patent: It is a protection document granted to those who invent for a specified period, issued by government patent offices in the country where the invention is registered.

Article 2: Submission of Research Projects

The following conditions must be met by the principal investigator who applies for research funding from the university:

- (a) They must be a faculty member at the university.
- (b) They must submit a research project according to the proposed model for research approved by the deanship.

- (c) They must adhere to the deadlines set for the submission of research projects announced by the deanship.
- (d) The principal investigator should not have any uncompleted research projects funded by the Deanship of Scientific Research within the years specified in the announcement conditions.
- (e) The conditions specified by the Deanship of Scientific Research in the announcement at the start of receiving research proposal requests must be followed.

Article 3: Evaluation of Research Proposals

Research proposals are evaluated according to the following procedures:

1. Research proposals are screened and evaluated for compliance with the conditions specified in the Deanship announcement.
2. The Deanship is responsible for providing/sending the proposals to at least two reviewers for evaluation and comments, or may limit it to two reviewers and if the reviewers' opinions differ, the proposal is sent to a third reviewer for the final decision.
3. Reviewers evaluate research proposals according to the evaluation forms approved by the Deanship.
4. Research proposals that have passed the evaluation are presented to the Deanship Council for consideration of the availability of budget to support them. The research proposals are funded by the recommendation of the Deanship Council to approve their funding.
5. The Deanship of Scientific Research Council has the right to modify or add any other criteria for funding research proposals as deemed necessary.

Article 4: Funding of research proposals

Research proposals are funded according to the following procedures:

(A) Research is accepted for funding after approval by the Council of the Deanship of Scientific Research and approval of the required budget.

(B) Except for the equipment item, transfer between research budget items can be made upon the request of the principal investigator and approval of the Deanship of Scientific Research Council, subject to the financial limits stipulated in Article (12) of the Unified Regulations for Scientific Research in Universities.

(C) Research proposals are funded according to the terms and conditions set forth in the contract concluded between the first party and the second party, in accordance with the provisions of these rules, which are an integral part of the funding contract.

(D) The second party is not entitled to amend any of the terms of the research project contract signed between the two parties, except after obtaining written approval from the Deanship of Scientific Research Council. The terms are as follows:

1. Change of the principal investigator or one of the co-investigators.
2. Adding one or more researchers.
3. Change of the project objectives or subject.
4. Increase in the costs of the items approved in the research budget.

(E) The principal investigator represents the research team and is responsible for supervising and managing the team and representing it to the university.

(F) Members of the research group are responsible for all scientific, financial and administrative affairs related to the completion of the research .

Article 5: Research Duration

(a) The duration of research funding is one year from the date of signing the funding contract, and the Deanship of Scientific Research may, due to the available budget conditions or the nature of some research projects, decide a period of more or less than that.

(b) In cases of extreme emergencies, if the second party wishes to extend the period, they must submit a request to the Deanship of Scientific Research at least thirty (30) days before the end of the research period, without any additional financial commitment from the Deanship of Scientific Research, including the following:

- 1- A request for the extension, including scientific and technical justifications.
- 2- Progress made in the research until the time of the extension request.
- 3- A work plan to complete the remaining part of the research during the extension period.

The request shall be studied, and submitting or studying the request does not imply approval of the extension.

(c) The contract starts from the date of signing, not from the date of receiving the first payment.

(d) The researcher shall apply for the first extension to the Deanship of Scientific Research for a maximum of one year, and shall apply for the second extension to the Council of the Deanship of Scientific Research for a maximum of one year.

(e) The extension shall not be valid except with written approval from the Deanship of Scientific Research

Article 6: Suspension of Research

a) Research shall be suspended in the following cases:

1. In case of breach of any of the contract terms or violation by any member of the research team of any of the obligations set forth in these regulatory rules.
2. In case of termination of the primary researcher's relationship with the university for any reason such as the end of the contract or resignation from the university, the following shall be mandatory for the primary researcher:

First: If there are other researchers involved with the primary researcher:

1.1. The research team shall agree on nominating another primary researcher from the university who will assume the administrative and financial tasks of the research, be responsible for the remaining stages of the research, and be entitled to any remaining financial entitlements due to the previous primary researcher. The former primary researcher shall retain their intellectual and literary rights.

1.2. The assigned researcher shall assume all administrative, legal, and financial responsibilities that were assigned to the former primary researcher in the funding contract and in these regulations.

1.3. The research team's agreement and the new primary investigator's appointment must be in an official letter submitted to the Dean of Scientific Research, and it shall not be considered effective until approved by the Dean of Scientific Research.

1.4. If the research team fails to agree on nominating a new primary investigator, the Dean of Scientific Research has the right to suspend the research.

Second: If the primary investigator is working alone without other co-investigators:

2.1. The primary investigator shall authorize another investigator from the university to account for the administrative and financial tasks of the research, be responsible for the remaining stages of the research, and be entitled to any remaining financial entitlements due to the previous primary investigator. The former primary investigator shall retain their intellectual property rights.

2.2. The assigned investigator shall account for all administrative, legal, and financial responsibilities that were assigned to the former primary investigator in the funding contract and in these regulations.

2.3. The application must be submitted in an official letter from the primary investigator and shall not be considered effective until approved by the Dean of Scientific Research.

2.4. If no investigator from the university is authorized, the Dean of Scientific Research has the right to suspend the research.

b) In case the primary investigator submits a letter that includes convincing justifications for the reasons that led to his/her breach of the contract terms, the Deanship may give him/her the opportunity for correction, with the written approval of the Deanship of Scientific Research.

c) When the research is suspended, the project shall be financially settled and all received amounts shall be returned to the Scientific Research budget in the university, and the primary investigator -whose research has been suspended- has no right to claim the remaining financial dues in the contract.

d) In case of a request to exclude a co-investigator by the primary investigator, a written consent from the excluded researcher is required. In case of disagreement, the dispute shall be settled by the concerned party in the university, as stipulated in Article Eighteen.

Article 7: Intellectual Property Rights

- a. The second party undertakes not to disclose, at any time during or after the research period, any confidential information or the content of any formula, rule, method, process, manufacturing or composition method, or any product preparation method that may be discovered or invented during the research, to any person or company or institution without referring back to the first party and agreeing with it.
- b. The second party also undertakes to comply with the applicable local and international laws and regulations in the Kingdom of Saudi Arabia regarding authorship, translation, publishing, and research ethics.
- c. The second party must abide by scientific integrity in citation and quotation and avoid plagiarism and scientific infringement.
- d. The second party must also comply with laboratory safety rules, instructions, and procedures, maintain the health of workers, laboratory equipment, and facilities, and also preserve the environment.
- e. The second party must commit to the spirit of perseverance and constructive competition and not block any results achieved from the supporting party.
- f. The second party must acknowledge the efforts of others who have been used in their work and avoid mentioning names of those who have no role in the research.

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- g. The second party must not exaggerate in determining the material and time requirements of scientific research, or waste materials and supplies, or misuse available equipment and materials.
 - h. The second party must adhere to the ethics of scientific research and the profession, including dealing with living creatures, whether human, animal, or plant, and conducting research in a way that does not diminish human dignity.
 - i. The second party must not conduct any transactions on humans until fully explaining the matter and any expected side effects, and obtaining written consent from the person under treatment.
 - j. The second party must obtain the approval of the university's research ethics committee when conducting research in biological specialties.
 - k. The second party must present the results with credibility and transparency, not hide negative results or interpret the results on hypothetical controversial assumptions, and not exaggerate in describing the results in a way that misleads the public opinion.

Article 8: Final Report

- a) The principal investigator shall submit the required research in its published format, except in cases where the Deanship of Scientific Research makes an exception based on need.
- b) The researcher shall provide proof of publication in reputable and indexed scientific journals, and the Deanship of Scientific Research may determine which journals are acceptable.

- c) proof of payment for any fees related to equipment or materials, as outlined in the research contract, must be settled.
- d) The final financial report must show that research expenses have been paid according to the approved Deanship of Scientific Research forms.
- e) An electronic copy of the research, in the format it was published, must be uploaded to the Sahel system on the new scientific research program icon.
- f) If the primary investigator fails to provide proof of publication, they will be subject to Article 6 of these rules.

Article 9: Publication

- a) The first author in published scientific papers must be listed in the contract as a part of the research team and is affiliated with the University of Tabuk.
- b) The corresponding author in published scientific papers must be listed in the contract as a part of the research team and is affiliated with the University of Tabuk.
- c) The research team affiliated with the University of Tabuk is committed to publishing the research or any part of it, and must acknowledge the University of Tabuk as the primary affiliation of the researchers. When publishing in Arabic, the following format must be used: "جامعة تبوك", and when publishing in English, the following format must be used: "University of Tabuk".
- d) At least 50% of the research team members must be present in each scientific paper produced by the team.
- e) The principal investigator must commit not to add any names outside the research team listed in the contract on published papers, except after obtaining prior approval from the Deanship of Scientific Research, after providing it with justifications for the addition. "Employees of the University of Tabuk are exempted from this condition".
- f) Each member of the research team must be present in at least one scientific paper produced by the team.

- g) The Deanship of Scientific Research may use research abstracts in its publications for the purpose of promoting scientific research activity at the university.
- h) The principal investigator must acknowledge financial support provided by the Deanship of Scientific Research at the University of Tabuk, and include the research number in published research papers, as follows:

شكر وتقدير
يتقدم فريق الدراسة بخالص الشكر لعمادة البحث العلمي بجامعة تبوك على دعمها العلمي والمادي
S-XXXX-XXXX بالمنحة البحثية رقم

Acknowledgment
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- i) Research published before the date of signing the contract will not be counted as part of the research team's achievements.
- j) The primary investigator is committed to publishing according to the announcement of the Deanship of Scientific Research and the funding contract.

Article 10: Patent Rights

1. With regard to intellectual property rights and the resulting obligations or financial entitlements, the parties agree in the contract for funding the research project or in a subsequent contract on the distribution of the return percentage for each party, and the regulations and systems in force apply to them.

2. The second party shall notify the first party of all inventions, designs, improvements, or discoveries obtained during the project or thereafter if the information obtained after the project is based on information obtained during the project.
3. All protectable rights shall be registered in favour of the first party, and the second party shall sign the necessary documents for registration at the request of the first party.
4. Communicate with the intellectual property unit/office at the university and inform them to take the necessary action

Article 11: Termination of Research

(A) The research project ends with the acceptance of the final research report by the Deanship of Scientific Research according to the forms of the Deanship, or for any other reasons mentioned in these regulations, and this is in accordance with the above Article 9.

(B) Upon the completion of the research, it shall be financially settled, and the assets secured from the equipment item of the research budget in accordance with Article 14 below, shall be delivered to the party designated by the Deanship of Scientific Research.

Article 12:

The University President shall assign some Saudi faculty members to prepare research or studies for specific purposes that do not fall within the university's publishing program,

provided that the reward for each researcher does not exceed ten thousand Saudi riyals, and it is closed by arbitration or published in peer-reviewed journals.

Article 13: Financial Disbursement Rules:

(A) Research expenses are paid to the principal investigator after the administrative and financial procedures approved by the Deanship of Scientific Research have been completed, as follows:

1. The first payment: 50% of the total research budget is paid after the contract is signed and is not tied to a specific time as per the financial procedures of the Deanship of Scientific Research.
2. The second payment: 50% of the remaining research budget is paid after the completion of the research procedures according to Article 8.

(B) The principal investigator is committed to the disbursement of the research budget in Article (12) of the Unified Regulations for Scientific Research at Saudi universities, as follows:

1. A reward of one thousand and two hundred Saudi riyals (1200) is paid monthly to the principal investigator holding a PhD, and one thousand Saudi riyals (1000) per month for each participant from the faculty members and those in their position holding a PhD during the basic period specified in the research contract.
2. A research assistant holding a Master's degree is paid a reward of thirty (30) Saudi riyals per hour, not exceeding eight hundred (800) riyals per month during the basic period specified in the research contract, and not more than three assistants.
3. A research assistant holding a university degree is paid a reward of twenty-five (25) Saudi riyals per hour, not exceeding six hundred (600) riyals per month during the basic period specified in the research contract.

4. A research assistant (undergraduate students and technicians) is paid a reward of twenty (20) Saudi riyals per hour, not exceeding four hundred (400) riyals per month during the basic period specified in the research contract.
5. A reward of (500) five hundred Saudi riyals shall be paid to the consultant from within the city for each day of consultation, provided that the total amount he receives for research in one year does not exceed (7000) seven thousand Saudi riyals.
6. A reward of (1000) one thousand Saudi riyals shall be paid to the consultant from outside the city for each comprehensive consultation day, including accommodation and subsistence, provided that the total amount he receives for research in one year does not exceed (14000) fourteen thousand Saudi riyals, and a round-trip travel ticket shall be provided for him.
7. A reward of (2000) two thousand Saudi riyals shall be paid to the consultant from outside the Kingdom for each comprehensive consultation day, including accommodation and subsistence, provided that the total amount he receives for research in one year does not exceed (20000) twenty thousand Saudi riyals, and a round-trip travel ticket shall be provided for him.
8. The rewards referred to shall not be paid if the researcher is employed as a full-time researcher.

(c) The right of the primary investigator to claim the remaining amount of the research budget shall be forfeited if he/she fails to submit the required reports on the specified dates according to Article 5 of these rules. If the researcher is delayed in submitting the final report within the contract period, he will be treated according to Article 6. An exception may be made from implementing the provisions of this Article for some cases that the Deanship Council deems appropriate to exclude for justified circumstances, based on a recommendation from the Council and the approval of His Excellency the University President.

Article 14: Procedures for Purchasing Equipment, Materials, and Others

Without violating the applicable regulations and rules, the purchase of equipment, materials, and others is carried out according to the following procedures and rules:

(A) The the primary investigator has the right to secure research requirements for equipment and materials through direct purchase for an amount not exceeding ten thousand riyals as follows, as follows:

- 1- Purchases below three thousand riyals are made directly by the primary investigator.
- 2- Purchases between three thousand riyals and less than ten thousand riyals are made under a pricing report and a confirmation letter signed by the primary investigator.

(B) For amounts exceeding ten thousand Saudi riyals, the primary investigator provides technical specifications for the required equipment, tools, and materials to a number of local suppliers. In case of failure to secure locally, the primary investigator contacts external parties that can supply the required equipment, and the purchase is made based on a pricing report containing at least three offers and the approval of the Deanship of Scientific Research Council.

The primary investigator must submit the original invoices, approved by the selling party, and the materials and equipment must be entered into the university's warehouses and disbursed in accordance with the applicable rules and regulations in this regard. It is also permissible for more than one project head/PI to jointly purchase one device that serves several research projects, provided that the device is in the custody of the principal investigator for one of the funded projects, and it is handed over to the Deanship of Scientific Research after the end of his project to be the property of the university.

(C) The rules and regulations applicable in the university apply to the procurement of materials, equipment, and others.

Article 15: Reward for the Research Team and Reviewers

(A) The rewards for researchers, participants, and assistants in the research shall be calculated according to Article 12 of these rules.

(B) The reviewers reward is calculated for each research proposal (500) riyals.

Article 16:

The provisions of these regulations shall be an integral part of the research contracts signed between the first and second parties.

Article 17:

The Scientific Council has the right to interpret the provisions of these rules.

Article 18: Settlement of Disputes between the Research Team

1. The aggrieved member of the research team submits a written request to the Deanship of Scientific Research explaining the nature of the dispute with supporting evidence.
2. The Deanship of Scientific Research submits the request officially to the legal department for necessary action and legal opinion, upon approval of the university president.
3. The research team's work on the research project is suspended until the legal department's opinion, approved by the university president, is received by the Deanship.

Article 19:

The Council of the Deanship of Scientific Research may recommend an exception from any of the items of the previous articles, as required by the interest of the work, with a justified recommendation and the approval of the President of the University. This is in a manner that does not contradict the provisions of the unified regulations for scientific research in universities.

Article 20:

This regulation replaces:

- 1- The regulations and internal procedures applied in funding research at the University of Tabuk.
- 2- The regulations and internal procedures applied in funding research groups at the University of Tabuk.
- 3- The program of the Deanship of Scientific Research to support new faculty members at the University of Tabuk.
- 4- The program of the Deanship of Scientific Research to support student research at the University of Tabuk.

And all conflicting provisions are hereby repealed.