

**Policies and Regulations for Funding Research Projects
At The University Of Tabuk**

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Preamble:

Promoting scientific research, in the theoretical, applied and technical domains, constitutes one of the key objectives of the University of Tabuk. To that end, and to boost intellectual and scientific authenticity, the university provides its faculty members, lecturers, teaching assistants and students with the opportunity to use its labs, libraries and other available facilities, in conducting research related to their areas of interest.

In addition, the University of Tabuk allocates funds for certain areas of research, as set forth in the regulations. Such an initiative calls upon the formation and collaboration of specialized academic teams in conducting research in scientific and organizational domains. The initiative is in keeping with the priorities set by the departments or colleges.

Pursuant to its review of Article (28), Para. (3/1) of the Regulations of the Higher Education Council and Universities, and to that of Article (49) of the Unified Regulations of Scientific Research of Saudi Universities, the Academic Council has set rules to regulate the funding of research projects. These articles are governed by the Royal Directive of the Custodian of the Two Holy Mosques, in the telegram No. (7/b/4403) dated 2/4/1419 H. These rules are executed under the terms set forth herein:

Article (1)

Definitions:

The following terms and expressions shall be defined as set forth herein:

- 1- **Funded Research Project:** The achievement attained under the rigors of the prevalent scientific foundations. The endeavor may be individual, collective or a combination of both. It is funded by the University in accordance with its policies and procedures for funding research projects.
- 2- **Lead Researcher:** An assistant, associate or full professor, who leads, supervises, manages the research team, and acts as its front.
- 3- **Assistant Researcher:** A teaching staff member, who participates with a team of researchers in accomplishing a stipulatory study.
- 4- **Contract:** An agreement entered into by and between the University and a lead researcher for the purpose of funding a particular research project.
- 5- **University:** The University of Tabuk.
- 6- **Deanship:** The Deanship of Scientific Research at the University of Tabuk.
- 7- **First Party:** The University of Tabuk.
- 8- **Second Party:** The research team represented by a lead researcher.
- 9- **Referee:** A teaching staff member, or an expert, entrusted with the task of evaluating and studying academic papers.
- 10- **Consultant:** a teaching staff member, or an expert, entrusted by the lead researcher to provide guidance in the field of research.
- 11- **Research Proposal Template:** An official template of the Deanship of Scientific Research, which comprises instructions that should always be observed by researchers. (A copy of this Template is attached herewith, titled "Template 1")
- 12- **Funding:** Funds provided by the University of Tabuk towards research conducted by faculty members. This research shall be in accordance with the stipulations of the Deanship of Scientific Research.
- 13- **Funding Programs:** Research funded programs which are offered annually by the deanship.
- 14- **Final Report:** A report compiled and submitted by the lead researcher upon the completion of the research project. The report shall incorporate a copy of the research published, as per the official template of the Deanship of Scientific Research.
- 15- **Audit Report:** A detailed inventory of the expenditure of the research, which a lead researcher shall compile and submit. A copy of the research published shall be attached to the audit report. (A copy of the Audit Report shall be attached herewith, titled "Template 2")
- 16- **Research Team:** It shall comprise the lead researcher and their Assistant Researchers.
- 17- **Termination of the Research Project:** The Suspension of funds, freezing of all the team's financial transactions, and the termination of the contract with the Second Party.
- 18- **Completion of the Research Project:** The completion of all official administrative and financial procedures sought by The Deanship of Scientific Research.
- 19- **Publication of Research Project:** The research project shall be published in one of the refereed journals. The deanship shall reserve the right to restrict the publication of the research to selective journals.

Article (2)

Submitting Proposals for Research Projects:

When seeking a university grant for research, a lead researcher shall:

- a) Hold the position of a faculty member at the university. The Council of the Deanship of Scientific Research may, at its discretion, waive this condition, as it deems fit.
- b) Submit the proposal for their research project in accordance with the official template of the Deanship of Scientific Research.
- c) Meet the deadline set by the Deanship for submitting the proposal for the research project.
- d) Have no research funded by the Deanship of Scientific Research, which is pending completion.

Article (3)

Refereeing Proposals for Research Projects:

A Proposal for Research Project shall be refereed as stipulated herein:

- a) The Council of the Deanship of Scientific Research shall examine all the proposals for research on its desk, and only shortlist those which have complied with the conditions set by the deanship.
- b) The Deanship shall forward the shortlisted research proposals to two academic referees for evaluation.
- c) In the case of significant discrepancies between the two evaluations, the proposal for the research project shall be forwarded to a third party endowed with the casting vote.
- d) Referees shall evaluate all the proposals for the research projects against the Official Template of the Deanship. (A copy of this Template shall be attached herewith, titled "Template 3")
- e) Selected proposals shall be forwarded to the Council of the Deanship of Scientific Research for funding consideration. Upon its recommendation, funds shall be allocated for the initiation of these research projects.

Article (4)

Funding Proposals for Research Projects

Selected proposals for research projects shall receive funds, as stipulated herein:

- a) The Council of the Deanship of Scientific Research shall entrust a committee to examine all the proposals for research on its desk, and only shortlist those which have complied with the conditions set by the deanship.
- b) Subsequent to the approval of the Vice President for Graduate Studies and Scientific Research, funds shall be allocated for selected research proposals.
- c) To the exclusion of procuring equipment, supplies and miscellaneous, and in the case of overspending in any area, the lead researcher may place a written request to the Dean of Scientific Research seeking authorization to plug the deficit from funds allocated to other areas. In this event, rolled over funds shall not exceed the cap set forth in Article (12) of the Unified Regulations of Scientific Research of Saudi Universities.

- d) The terms and conditions stipulated in the contract, entered into by and between the two parties to this agreement, shall be binding and constitute its cornerstone.
- e) Terms and Conditions of the contract shall be binding. The Second Party shall not amend any of these terms and conditions. If circumstances warrant any amendment, the Second Party shall seek in advance the written consent of the deanship. This consent shall affect decisions in the areas set forth herein:
 - 1- Replacing the lead researcher or any assistant researcher.
 - 2- Inviting others to join the research team.
 - 3- Changing the statement or the goals of the research.
 - 4- Overspending in any funded area.
- f- The lead researcher shall lead, supervise, manage and act as the front for the research team.
- g- Research projects shall be funded in proportion to the total number of proposals which had been selected. The Deanship Council may, at its discretion, waive this condition, as it deems fit.

Article (5)

Duration of Research Projects

- a) Allocated funds shall be dispensed over a period of nine months. The Deanship of Scientific Research, at its discretion, shall reserve the right to extend or shorten this period, as per the nature of the research and the availability of funds.
- b) In exceptional cases, the Second Party may apply to the deanship for an extension of the research period. Under these circumstances, an extension request shall be submitted 30 days prior to the deadline set for the completion of the research. The deanship shall forward the request to its council for consideration. A copy of the documents set forth herein shall be attached:
 - 1- A request detailing the scientific and technical justifications for seeking an extension to the research period.
 - 2- A report on the progress of the research up to this point.
 - 3- An action plan of the research yet to be accomplished during the extension.
- c) The extension shall come into force as of the date it is approved in writing by the First Party.
- d) The contract shall come into force as of the date it is signed by the two parties, not as of the date the first installment is received.

Article (6)

Termination of Research Projects

- A- Research projects shall be terminated as per the conditions stipulated herein:
 - 1- In the event members of the research team contravene any of the terms and conditions of the contract hereto.
 - 2- In the event the employment of a research member comes to an end, as a result of termination, resignation or any other reason. Under these circumstances, the lead researcher:

First: Working with a research team shall:

- 1- Agree with the research team members over the nomination of their successor. The latter shall be assigned all the tasks, which were once executed by his predecessor. The remainder of the funds allocated for the research shall pass on to the newly nominated lead researcher. The former and current lead researchers shall own the intellectual and moral rights of the research through their respective participation.
- 2- Forward the agreement for the nomination of the new lead researcher to the Deanship of Scientific Research for ratification. The agreement shall become valid upon the approval of the First Party.
- 3- In the event of failure to reach agreement with their team, reimburse the amount of funds, which had been spent on the research up to that point. This process comes subsequent to the Deanship of Scientific Research terminating the research as per its statutory rights.

Second: Conducting research independently shall:

- 1- Delegate all their administrative and financial duties to a faculty member, who shall bring the research to a closure. In this event, the delegate shall execute all the duties of the outgoing lead researcher, whose intellectual rights shall remain unaffected.
 - 2- Delegate their administrative, legal and financial duties to a faculty member for execution, as per the terms and conditions set forth herein.
 - 3- Notify in writing the Deanship of Scientific Research when seeking delegation. The delegation shall become valid upon the approval of the First Party.
 - 4- In the event of failure to delegate a faculty member, reimburse the amount of funds, which had been spent on the research up to that point. This process comes subsequent to the Deanship of Scientific Research terminating the research as per its statutory rights, and pursuant to Article (6).
- B- The Deanship of Scientific Research may grant the lead researcher a second opportunity to proceed with the research project, with the proviso that they shall submit in writing compelling justifications for their suitability to conduct the research to completion.
- C- In the case of a research project termination, all research-related assets shall be liquidated, and proceeds reimbursed into the university's academic research account.

Article (7)

Data Privacy

All research-related data shall remain the sole property of the First Party. Thus, the Second Party shall not have the right to share them with any third party. In the event the Second Party leaks any of the private data, they shall be subject to legal proceedings.

Article (8)

Final Report

The lead researcher shall:

- a) Provide the Deanship of Scientific Research with a publishable copy of the final draft of the research.
- b) Provide evidence of publication of the research. The Deanship of Scientific Research, at its discretion, reserves the right to name the refereed journals in which a lead researcher may publish their research.
- c) Provide, in accordance with the provisions of the contract, an official documentation detailing all research-related Equipment, Supplies and Miscellaneous, if any, which had been returned to the deanship.
- d) Provide an audit report detailing payment of all research-related expenditure, using the official templates of the Deanship of Academic Research.
- e) Upload a copy of the published research under The Research Funding Section at SAHIL Electronic System.
- f) Be subjected to the provisions of Article (6), in the event they fail to provide evidence of publication of the research.

Article (9)

Publication of Research

- A. The research team shall publish the entire findings of the research or part of it. Throughout this process, it is incumbent upon the team to refer to the institution of the University of Tabuk, to which it is affiliated. If the research is published in Arabic, the university shall be referred to as "جامعة تبوك". If the research is published in English, the university shall be referred to as the "University of Tabuk."
- B. The Deanship reserves the right to use the abstracts of the research it is funding in its brochures to orient the readers to the research activities of the university.
- C. The researcher shall publish at least one funded research paper in a refereed journal, affiliated to either ISI Web of Knowledge or SCOPUS, for research papers published in English. In the case of a research paper in Arabic, such a condition does not apply. Funding future research shall be tied to the research you have published so far.
- D. The researcher shall provide the deanship with a proof of publication of their research.

Article (10)

Patent Rights

- 1- With respect to the intellectual property rights, its terms and royalties, the two parties enter into an agreement for funding the research project or a follow-up. This agreement shall specify each party's royalties. To that end, the rules and regulations governing research shall be implemented hereto.

- 2- The Second Party shall notify the First Party of all their patents, designs, product improvement or inventions, which resulted either from their current or future endeavor based on any research-related data, as per the terms and conditions of this contract.
- 3- All rights pertaining to the research project shall be patented in favor of the First Party. The Second Party shall sign all the documents needed for patenting, as and when called for by the First Party.
- 4- The Patent Unit, in the Deanship of Scientific Research, shall be notified with respect to patenting the research project and its spin-offs, pursuant to Para. (2) of Article (10), for it to take the necessary measures.

Article (11)

Completion of Research Projects

- a) Pursuant to Article (9) of the agreement hereto, a research project shall reach completion only subsequent to the deanship's approval of a related final report. The latter shall be compiled using the official template of the deanship, in accordance with any conditions set forth herein.
- b) In the case of a research project completion, all research-related assets shall be liquidated, and all proceeds shall be reimbursed into the university's academic research account. Non-liquidated assets shall be transferred to a relevant department.

Article (12)

Rules for Dispensing Research Funds

- A) The funds shall be dispensed to the lead researcher in two installments, upon completion of the required administrative and funding procedures, set by the Deanship of Scientific Research, which stipulate that:
 - 1- The first installment comprising 35% of the allocated funds shall be dispensed to the lead researcher upon signature of the agreement, and not bound by any time limitations.
 - 2- The second installment comprising 65% of the allocated funds shall be dispensed to the lead researcher upon fulfilling the terms pursuant to Article (8).
- B- The lead researcher shall spend the allocated research funds pursuant to section (12) of the Unified Regulations of Scientific Research of Saudi Universities, which stipulate that, during the set period of the research agreement:
 - 1- The lead researcher and each assistant researcher, Ph.D. holders, shall receive a monthly stipend of SAR 1200 and SAR 1000, respectively.
 - 2- The research assistant, a Master's Degree holder, shall receive a stipend of SAR 30 per hour, the total of which exceeds not SAR 800 per calendar month. The number of research assistants shall not exceed three for each research project.
 - 3- The research assistant, a Bachelor Degree holder, shall receive a stipend of SAR 25 per hour, the total of which exceeds not SAR 600 per calendar month.
 - 4- The research assistant, an undergraduate or a technician, shall receive a stipend of SAR 20 per hour, the total of which exceeds not SAR 400 per calendar month.

- 5- A consultant based in Tabuk City, Saudi Arabia, shall be entitled to SAR 500 for each and every day of their consultation period, the total of which exceeds not SAR 7000 per annum.
 - 6- A consultant operating out of Tabuk City, but within Saudi boundaries, shall be entitled to SAR 1000 for each and every day of their consultation period. This entitlement shall include a subsistence allowance, the total of which exceeds not SAR 14000 per annum, in addition to a round trip ticket.
 - 7- A consultant operating out of Saudi Arabia shall be entitled to SAR 2000 for each and every day of their consultation period. This entitlement shall include a subsistence allowance, the total of which exceeds not SAR 20000 per annum, in addition to a round trip ticket.
 - 8- A consultant fully dedicated to research, exempted from any other task, shall not receive any entitlements mentioned above.
- C- A lead researcher failing to submit their progress report within the stipulated deadline, pursuant to Article (5), shall forfeit their right to the remaining installment of the research funds set forth herein. In the event they fail to submit the Final Report on time, Article (5) shall apply.

Article (13)

Policy for Procurement of Equipment, Supplies and Miscellaneous

Without contravening the terms and conditions of the contract, the lead researcher shall procure research equipment, supplies and miscellaneous pursuant to the rules and procedures set forth herein:

- A- With the proviso that the full cost of the required equipment, supplies and all miscellaneous for the research exceeds not the amount of SAR 19000, the lead researcher shall reserve the right to circumvent red tape, and procure them in person, pursuant to the terms stipulated herein:
- 1- If the total cost is less than SAR 3000, the lead researcher can make the purchase in person.
 - 2- If the total cost ranges between SAR 3000 to less than SAR 10000, the research team shall agree and document the most cost-effective quotation. Subsequently, the lead researcher shall sign the quotation document and shall order in writing the equipment, supplies and all miscellaneous.
 - 3- If the total cost is SAR 10000 or more, the research team shall document the most cost-effective quotation. Subsequently, the Dean of Scientific Research, upon agreeing to the cost, signs the quotation document. With this in hand, the lead researcher shall order in writing the equipment, supplies and all miscellaneous.

Equipment, supplies and all miscellaneous procured from national or transnational suppliers shall be presented with the original receipts, endorsed by the supplier. Procured items shall be stored in the university's storehouse. These items shall become the custody of the lead researcher, for usage throughout the duration of the research project. The storage and usage shall be in accordance with the university policy for procurement.

- B- With the proviso that the full cost of the required equipment, supplies and all miscellaneous exceeds the amount of SAR 19000, the Procurement Office shall procure them, pursuant to the terms stipulated herein:
- 1- The lead researcher shall present the technical specifications of the required equipment, supplies and all miscellaneous, to a number of national suppliers. In the event the items cannot be procured nationally, the lead researcher shall make inquiries with potential transnational suppliers. Under both scenarios, the lead researcher shall present the Procurement Office with a document detailing the offers received citing the most cost-effective quotation. The document and the quotation shall be endorsed by a report of the Technical Committee for the Procurement Office to proceed with the purchase.
 - 2- The Procurement Office, upon agreeing to the most cost-effective quotation, shall sign the quotation document. To that end, funds needed for the procurement of the equipment, supplies and all miscellaneous, shall be deducted from those allocated for all research. The deducted funds shall be transferred to the lead researcher. Subsequently, the Procurement Office shall notify in writing the Deanship of Scientific Research of all processes.
- C- The process leading to the procurement of the equipment, supplies and all miscellaneous shall be subject to the rules and regulations of the University.

Article (14)

Stipends for Members of Research Teams and Referees

- A. The stipends for a lead researcher and their assistants shall be calculated pursuant to Article (12) set forth herein.
- B. The stipend for referees is calculated pursuant to the term stipulated herein:
 - 1- The stipend for refereeing a proposal for a research project amounts to SAR 500.

Article (15)

The articles set forth herein shall constitute the cornerstone of all research contracts made and entered into by and between all parties.

Article (16)

The views of the Council of the Deanship of Scientific Research shall be paramount when interpreting the articles set forth herein.

Article (17)

This contract shall come into force upon the approval of the Academic Council of the University, which shall forward it to the Council of the University for ratification.

Article (18)

Settling Disputes Among Research Team Members

- 1- In the event of disputes between members of the research team, the allegedly aggrieved member shall complain in writing to the Deanship of Scientific Research, detailing the nature of the dispute with supporting documents.
- 2- The Deanship of Scientific Research shall forward any complaint on its desk to the Office of Legal Affairs at the University, for investigation.
- 3- Any research, at the center of the complaint, shall be suspended ipso facto pending the outcome of the investigation by the University's Office for Legal Affairs.