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DCO Procedure



Internally Funded Research Project Policy

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DCO Form V1.1

Internally Funded Research Project Policy

Policy Statement:

The high cost of conducting research could be one of the impediments to increasing the research output in new and smaller higher education institutions in the Kingdom. By realizing this factor, Al Yamamah University (YU) management has devised a clear strategy to support in-house faculty research by allocating a significant share of the research budget for internally funded research projects. The research project could be managed by a single author or a group of researchers from Al Yamamah University. The principal investigator has to be from YU faculty, but other team member(s) could be from external institutions (with the share of external collaborator(s) not exceeding 25%). It is expected that the final output of research carried out under this scheme is either published in reputed journals, converted into influential reports, developed into a product, or registered for a patent under YU name. The criteria, procedures and entitlements are laid out in the following paragraphs.

Criteria:

1. The principal investigator and other YU author(s) must mention YU as a sole affiliated institution to be qualified for full funding consideration.
2. Dual-affiliated principal investigators are eligible to apply for 75% of the research financial supports that Al Yamamah University provides on a merit basis to its own single-affiliated, full-time faculty members. This financial support is subject to the following three conditions:
 - a. The principal investigator must be from YU faculty.
 - b. Al Yamamah University should be listed as the primary institution.
 - c. All Al Yamamah University's research-related policies and regulations should be satisfied.
3. All research proposals must have clear and achievable objectives, detailed budgets and timelines, as well as contingencies for completing the projects even if funding sources have been exhausted. In addition, the proposals should identify which existing staff, as well as additional staff, will be needed, and in what percentage for the project and for how long.

4. The results of the research generally belong to the researcher, for purposes of publication(s), but a final report must be submitted to the University.
5. All funded research projects must have three-month progress interim and final reports. The progress reports must be submitted every three months to the Dean of Graduate Studies and Research, starting at the end of first three months following the approval of the financial support while the final report is submitted upon the completion of the project.
6. Annual and quarterly reports for funded research projects must be reviewed and approved by the Council for Graduate Studies and Research.

Procedures:

If faculty members are interested in carrying out research funded by Al Yamamah University, the following procedures are laid out as a general guideline:

1. Faculty members must fill-in a formal request form and send it to the Dean of Graduate Studies and Research through his home college or academic unit alongside a comprehensive research proposal highlighting the following:
 - a. topic being researched.
 - b. gaps in existing knowledge (products).
 - c. constraints and costs including remuneration of investigator(s).
 - d. research method, plan, milestone, achievable outputs, and detailed budget.
 - e. personal statement explaining how the requested funds will help him/her (them) in improving the research/teaching standards.
 - f. potential new income streams for the University.
 - g. welfare of the society in general.
2. The Dean of Graduate Studies and Research shall review the request and either suggest changes or forward a recommendation after an approval from the YU Research Ethic Committee and external scrutiny of the proposal by one or more experts in the field to the Council for Graduate Studies and Research for further assessment.
3. The Council for Graduate Studies and Research shall evaluate the request and recommendation and make a judgment based on a variety of factors such as:
 - a. the needs of YU (research, teaching, potential brand promotion).
 - b. financial implications (cost/benefit analysis).
 - c. in-house resource availability and individual(s) contributions to YU academic and administrative activities (for at least over a year at YU).
 - d. future monetary benefits (if any) for the University.

4. In the case of approval, the request shall be sent to the President's Office. The President's Office shall evaluate all the paperwork and make a final decision in this regard.

Entitlements

1. Each faculty member is entitled to participate in up to two internally funded projects over the entire academic year time period.
2. The duration of internally funded projects is one year with a maximum cost of up to SAR 50,000 per project including remuneration for the principal investigator and additional co-investigators, secretarial and other support, facilities, equipment, hardware/software, books, journals, stationary/supplies, laboratory equipment, and transportation costs for surveys (if any). The President could, however, increase the allocation of funds for such project on the recommendations of YU Council for Graduate Studies and Research.
3. If the project cannot be completed within the one-year period, the principal investigator should submit an extension request to the Dean of Graduate Studies and Research before the end of the 11th month of the project. Such a request must be justified and supported by evidence. The duration of the entire projects, including any justified extensions shall not exceed two years all together.

Exceptions

The University Council reserves the right to decide on any situation/circumstances outside the conditions stated in this policy.

Authorization

This policy was authorized by:


University President

Date: 28-1-2021