



جامعة الفيصل
Alfaisal University

Research Policies & Procedures

2016-2017

Office of Research & Graduate Studies

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1. General Principles

1.1. Purpose

This chapter outlines the policies and procedures governing research sponsored and conducted in collaboration with Alfaisal University. It sets forth definitions, policies, and procedures for approval, processing, budgeting, and accounting for research funded from internal and external sources as well as ethical practices.

1.2. Background

Eminence in research is crucial to achieving the University's goals of becoming a leading educational institution and a model in the region. It is also a critical component to the University's mission of conducting world class research that benefits the Kingdom of Saudi Arabia, the region and the world. Collaboration between Alfaisal University and individuals, companies, and other universities in the local environment is fundamental to conducting research which can be applied to benefit and develop society.

1.3. Definitions

Statements defined below are to be applied in interpretation of these regulations:

Scientific Research: Search for knowledge that is built on a scientific basis, and accomplished as a result of individual or joint effort.

Principal Investigator: a faculty member or equivalent, who represents the research group or is assigned the mission of supervision and management of the whole group.

Co-Investigator: a faculty member or equivalent, who participates with a group of researchers on a project.

Reviewer: a faculty member or equivalent, who is an expert in the field and who is assigned to review a scientific project.

Adviser: a faculty member or equivalent who is an expert in the field and who provides service or advice.

1.4. Areas of Research Priority

The University provides support for research in areas of science, engineering, medicine, and business with the aim of promoting productive investigation and creative scholarship. This support includes release time from teaching, additional salary if research is carried out in summer holidays, per diem support to attend internationally recognized conferences to present papers, purchase of equipment and all expendable items, and reimbursement of costs related to telephone/fax charges.

The following are the priority areas of research for Alfaisal University:

- **SCIENCE & TECHNOLOGY**

- Water
 - Energy
 - Oil & Petrochemicals
 - Information Technology
 - Environment & Natural Resources
- **HEALTH, BIOMEDICINE & PHARMACEUTICALS**
 - Diseases
 - Surgery
 - Gerontology
 - Genetics
 - Biotechnology & Biomaterials
 - Comparative Effectiveness
 - Translational Research
- **BUSINESS**
 - Diversification of Economic Base
 - Domestic & Foreign Investment
 - Economic, Social, Environmental & Cultural Impact of Globalization
 - Balanced Regional Development

2. Offices, Councils and Committees that Support Research

2.1. Office of Research & Graduate Studies

The Office of Research & Graduate Studies (ORG) is responsible for assuring adherence to the University's and sponsor's policies and procedures, and for following ethical standards in conducting research. It provides direction and guidance in the development, identification, and securing of funding sources as well as proposal development, submission, administering and closure of awards. The Office will convey quality services related to development of research projects, compliance in the conduct of research, intellectual property, technology transfer, and governance issues related to sponsored programs.

Services will be provided to University faculty and staff through administrative support for research projects. In addition, the Office will provide an important interface with public and private members of the external community that have a vested interest in research. It is responsible for management and promotion of research activities that are carried out by the academic departments through external or internal funding.

2.2. Research & Graduate Studies Council

The Research & Graduate Studies Council (RGC), which is chaired by the Vice President for Research & Graduate Studies, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Graduate Studies is the administrative arm of the Council and is empowered on its behalf to enforce its regulations and policies. The Council membership consists of two faculty members from each of the different colleges and disciplines within the institution.

2.3. College Research Committees

Each College has a Research Committee consisting of faculty members that is responsible for reviewing applications for internal research funding and making recommendations to the Research & Graduate Studies Council.

3. Academic Policies

3.1. Research Integrity

The demonstration of professional integrity by faculty members includes recognition that society at large will judge the profession as well as the institution by their statements and behavior. Therefore, faculty members should strive to be accurate, to exercise appropriate restraint, to be willing to listen to and show respect to elements of society at large expressing different opinions.

Scholarly conduct must avoid fabrications, falsifications, plagiarism and other practices that deviate from accepted scholarly work. Faculty must apply academic rigor and integrity in obtaining, recording and analyzing data as well as in reporting and publishing results;

Faculty undertaking research should do so in a manner consistent with professional honesty and within the public interest. Research should be designed to enhance knowledge in a particular field of scholarship and should demonstrate sound methodology, accuracy and maintain the factual integrity of the data.

Faculty must use funds designated for research purposes in the prescribed manner.

Faculty members and other researchers who are full-time paid employees at Alfaisal University should declare Alfaisal University as their academic affiliation in any publication produced during their stay at the University.

3.2. Investigator Eligibility

The Principal Investigator (PI) for internal grants must be a full-time faculty member at Alfaisal University. Co-Investigators may be from Alfaisal or another institution. A Co-Investigator must consent to take over the project in the event that the PI is unable to continue.

3.3. Conference Attendance

The University encourages its faculty members to participate in conferences and professional meetings sponsored by leading societies and held both within the Kingdom and abroad. Attending such conferences permits an exchange of new ideas, concepts, and developments. It enables faculty members to build up and execute their own research and allows the University to be recognized as a leading research center.

3.4. Research Misconduct

This section outlines the conditions that protect and encourage the Faculty in its scholarly pursuits. The University requires that those engaged in scholarship be dedicated to the highest ethical standards. Misconduct in scholarship by any member of the university community threatens the university as well as the individual. The policies set forth here apply to all faculty members and provide for an objective examination of pertinent facts, protection of individual rights, and integration with other relevant review procedures, all under the general supervision of the Provost as the senior academic administrator.

Scholarly misconduct includes fabrication, falsification, plagiarism, inappropriate allocation of authorship credit, or other serious deviation from accepted practices in proposing, carrying out, or reporting technical results and expenditure of funds from research, educational or other scholarly activities; or retaliation of any kind against a person who has not acted in bad faith and who reported or provided information about suspected or alleged misconduct; or failure to comply with regulatory requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals.

Scholarly Misconduct does not include honest error or honest differences in interpretations or judgments of scholarly matters. If the alleged misconduct is not substantiated, the University will undertake diligent efforts to restore the reputation of those under investigation. Should either the inquiry or the investigation show that the allegations of misconduct were not made in good faith, those making the allegations will themselves be subject to disciplinary action.

Decisions regarding alleged misconduct procedures should yield a just decision based on the best and most complete information available. Any decisions should be based on the expert judgment of individuals qualified in the respective scientific field, using scientific interpretations and standards of proof, with a minimum of procedural complications. At the same time, however, the process must be fair and afford all parties an equal chance to present their best arguments. The confidentiality of all parties in a dispute must be preserved to the extent consistent with the University's obligations to research sponsors and to the scientific community. Acrimony and recriminations are undesirable, so adversarial interactions should be avoided. The process should move speedily, yet haste and error must be avoided.

Guided by these principles, Alfaisal University has established a policy with four procedural stages. In the screening stage an accusation of research misconduct is brought to the Vice President for Research & Graduate Studies who will examine the charges to ensure they are potential violations of the misconduct policy and, if so, to pass the case along to an Inquiry Panel. The inquiry stage evaluates the merits of the case, determining whether there is sufficient evidence of misconduct to merit a full investigation. The investigation stage entails a detailed examination of the case to resolve the facts ("Was this or was this not an instance of misconduct?"). Ascertaining whether or not misconduct occurred is a judgment about collegial conduct that should be resolved on its merits. If at any stage in the process it becomes evident that there was no misconduct, vigorous efforts must be made to minimize and remedy any adverse consequences for the respondent's career and reputation. If misconduct is established, then the case is referred to the disciplinary stage.

3.5. Procedures for Investigating Research Misconduct

3.5.1. Screening Stage

Initial reports of alleged research misconduct must be brought to the attention of the person with administrative responsibility for the individual whose actions are in question. That person must in turn report the allegations to the Vice President for Research & Graduate Studies. Care must be taken to protect the privacy of those who report apparent misconduct. The Vice President will promptly examine the case and determine if the case falls under the misconduct policy. If so, the inquiry stage will be followed.

3.5.2. Inquiry Stage

The Vice President for Research & Graduate Studies will immediately inform the respondent in writing of the accusation and that an inquiry has been initiated. The Vice President will prepare a list of proposed members for the Inquiry Panel. The respondent may challenge the inclusion of specific individuals to this panel by stating his or her objections in writing. The Vice President will then select the Inquiry Panel.

The inquiry will be conducted by a Panel consisting of two Faculty members and one academic administrator. The Panel should take no more than 30 days to conduct its inquiry and determine whether or not there is a reasonable basis to conclude that misconduct has occurred. During this discovery stage, the only persons who may be present during fact-finding sessions are the Inquiry Panel members, and any witnesses (e.g. respondent, complainant, other faculty/staff) called by the Panel. If the respondent is not available to attend, the Provost will fairly resolve the conflict between timeliness and the respondent's right to be present.

If a majority of the Inquiry Panel finds there is reasonable basis to conclude that misconduct occurred, then the matter must proceed to the investigation stage. The Inquiry Panel reports the results of its inquiry in writing to the Provost. The Provost will advise, in writing, the respondent and the complainant of the Inquiry Panel outcome. If there is to be an investigation, the Provost must advise the respondent in writing of the specific charges to be investigated. At that time, any collaborators and sponsoring agencies involved must be informed of the allegations.

3.5.3. Investigation Stage

Investigation of alleged misconduct will be conducted by a committee appointed by the Provost. The committee will be comprised of a minimum of three specialists in the subject area of the respondent and will include one individual from outside Alfaisal University. The Provost will prepare a list of proposed members for the Investigation Panel, which may include persons who served on the Inquiry Panel. The respondent may challenge the inclusion of specific individuals by stating any objections in writing. The Provost will then select, and appoint, the Investigation Panel. The Panel will elect its own Chair.

The Investigation Panel will determine whether there was academic misconduct. The Panel will follow the procedures for dealing with charges brought against a Faculty member as described herein and will seek to provide factual information in a manner that is fair to all parties. The Investigation Panel should take no more than 60 days to complete the investigation and to prepare a written report of its findings including a recommendation on the disposition of the case. The Panel should follow pertinent regulations of the agency or agencies that sponsored the research under investigation. The Investigation Panel will submit its report to the Provost, who in turn may notify the sponsoring agency of the findings of the investigation.

3.5.4. Disciplinary Stage

For individuals found to have committed scholarly misconduct, the Provost may take one or more of the following actions: (a) give a letter of reprimand; (b) monitor their work performance; or (c) recommend removal from a specific research project. Other, more severe, penalties include (d) being barred from conducting sponsored research, (e) recommending a reduction in rank, (f) suspension for a fixed period of time, or (g) termination. Termination shall be in accord with procedures specified in the Faculty Handbook.

If there is a finding of misconduct, the Provost must also take the following actions: (a) All pending abstracts and publications emanating from the fraudulent research should be withdrawn and editors of journals in which previous abstracts and papers appeared should be notified of the findings of the investigation; (b) Institutions and sponsoring agencies with which the investigated individual has been affiliated should be notified that there is reason to believe that the validity of previous research might be questionable.

3.6. Research Compliance

Faculty must comply with relevant statutes or regulations for the protection and welfare of researchers, human subjects, the public, laboratory animals and the environment.

Research involving the use of Biohazardous Material, Human and/or Animal Subjects must be submitted to the Committee for Medical & Bioethics (CMB) for review and approval. Funding will not be granted for research which has not been approved.

3.6.1. Human Subjects

Medical research is subject to ethical standards that promote respect for all human beings and protect their health and rights (World Medical Association Declaration of Helsinki 2000).

Approval for research involving Human Subjects cannot be initiated prior to application and submission of related documentation and consent forms to the designated Ethics Committee at the facility where the research will be conducted.

Approval is granted for a specified duration and must be renewed to ensure continuation of research. It is the responsibility of the Principal Investigator to submit a progress report in accordance to the Committee guidelines for review

and approval. In some instances, projects that have not obtained approval before the expiration date are terminated.

Any modifications to a research protocol, consent forms, or administrative matters in addition to reporting of adverse events must be submitted for approval by the Principal Investigator to the respective Committee(s).

3.6.2. Animal Subjects

Research involving the use of animals is subject to compliance of ethical practices and standards which ensure their proper care, use and humane treatment. Approvals must be obtained from the External Review Board (ERB) available at each collaborating facility where the proposed research will take place. The ERB is responsible for reviewing and approving all research activities involving the use of animal subjects before a project is initiated. Research which does not receive approval from the ERB will not be funded.

Laboratories are maintained by the facility administration that regulates and ensures compliance to its rules and regulations. A link to the policies for each collaborative facility is available in the University's website.

3.6.3. Environmental Health and Safety

It is the duty of faculty members conducting research to take necessary measures to promote and secure safe and healthy working practices and environments. Use of rDNA, biohazardous materials, or other agents must be detailed in the research protocol. Review and approval must be obtained from respective committees in facilities where the proposed work will take place. Proposals that have not received prior approval will not be recommended for funding.

3.7. Conflict of Interest

Conflicts of interest may arise when a faculty member's personal interests interfere with their responsibility to the university. The key factors in avoiding ethical and legal conflict of interest are personal responsibility and integrity. Alfaisal University expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the University. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and their dean. Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the University. Faculty members with the authority to commit university funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds. Only in special cases may University equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the Department Head and Dean or applicable Vice President.

4. Funding Research

4.1. Policy Statement

The Office of Research & Graduate Studies (ORG) is responsible for the coordination, supervision, and securing of funds for research in the University and with collaborative partners in the local and global environment with the purpose of supporting the University's strategic plan.

Alfaisal University provides support services for research in the form of laboratory space, funding, compensation, computing facilities, and reduced teaching load.

The University seeks to maintain and upgrade research space and to institute new facilities for on-campus research so as to provide a vibrant academic environment conducive to research. The ORG also seeks to provide research laboratory space outside the university through collaboration with KFSHRC, KACST, Saudi Aramco, KAUST, SWCC and MASDAR. A faculty member may informally approach a funding agency about whether a specific project might be fundable without going through the Office of Research & Graduate Studies. However, no official solicitation pertaining to financial and space commitments for external support for research may be made in the name of the University without prior approval from the Office of Research & Graduate Studies.

4.2. Types of Funding

There are several ways to fund research projects either through the University's internal budget or through externally funded programs or projects such as Research Grants, Chairs and Centers. This section gives a brief description of each.

4.2.1. External Research

The primary source of funded research comes from grants received from a sponsoring agency through submission and acceptance of research proposals. Several types of research grants are available, all of which are distributed on the basis of the merits of the submitted proposals (for details pls refer to <http://research.alfaisal.edu/index.html>). All proposals for funded research must be routed through the Office of Research & Graduate Studies (ORG) to assure compliance with University and funding agency regulations, and to assess University commitments of funds and space.

KACST funding, for example, is available in two categories: KACST internal and KACST external funding. KACST internal grants are institution based. With this type of funding the Project Manager must be from KACST while the Principal Investigator may be from an outside institution. Most of the research is normally conducted at their facilities. This funding source is available for Alfaisal Faculty if they are collaborating with staff at KACST. Alfaisal encourages its faculty to participate.

The second category, KACST external grants, is highly competitive and is open to all universities in the Kingdom. This comes in two forms; the General

Directorate for Research Grants (GDRG) Program which is open to all disciplines and has several deadlines during the year depending on the research area and discipline (for details pls refer to <http://research.alfaisal.edu/index.html>) and the National Plan for Science & Technology (NPST) with its 11 Strategic Research Priority Areas:

- Water
- Oil & Gas
- Petrochemicals
- Nanotechnology
- Biotechnology
- Information Technology
- Electronics, Communication, & Photonics
- Space and Aeronautics
- Energy
- Environment,
- Advanced Materials

Since Alfaisal is a private university, faculty members cannot be a Principal Investigator (PI) directly on the GDRG and NPST applications. This problem can be circumvented by for example having faculty members holding cross-appointments in government institutions and sending the application through that institution. This has been done for instance by Alfaisal College of Medicine faculty members applying through the KFHSRC system. Another option is to have the PI from a government institution such as KACST or KSU with the Alfaisal faculty member as Co-investigator. Note the latter person is the one actually writing and submitting the proposal.

Funding is also available from for example Saudi Aramco which holds RFP from universities every other year, Al Anoud foundation, and Boeing.

4.2.2. Internal Research

Research is funded internally using small competitive one year Internal Research Grants (IRG) (up to 50,000 SAR per grant) and larger highly competitive two year Strategic Research Grants (SRG) (up to 500,000 SAR per grant). All proposals are initially reviewed by the respective College Research Committee before being forwarded to the Research & Graduate Studies Council for final review and approval. The Strategic Grant proposals are also assessed by external reviewers.

It is an Alfaisal University requirement that internal research funding results in research proposals submitted to outside research funding agencies and, ultimately, successful external funding of the faculty members research activities. In addition, faculty members must show overall scholarly productivity (e.g. refereed journal papers which are indexed in ISI, TR, and Cabell's databases). All publications produced by Alfaisal faculty members must indicate an Alfaisal University affiliation. In addition, faculty holding IRG and/or SRG grants must clearly indicate the financial support in the acknowledgement section of the manuscript. The following statement should be used: "*Financial support from Alfaisal University through grant IRG/SRG number is gratefully acknowledged*"

5. Research Centers and Chairs

The University aims to establish Research Centers and Chairs that are specific to priority research topics. Centers and Chairs will be externally funded. Each Center will have its own budget, research priorities and advisory group. The Office of Research & Graduate Studies is responsible for circulating news about Centers and availability of Chairs.

6. Facilities and Laboratories

The university as of Feb 2017 has a total of 48 laboratories consisting of 13 research laboratories and 35 laboratories to support undergraduate teaching (Table 1). Over the past two years the number of research labs has increased from 4 to 12 and undergraduate labs have gone from 28 to 31, a 250% and 11% increase, respectively. Two of the labs (S3-73 (Preparation) & S3-81 (Path/Microb/Physio)) are used for both undergraduate courses and research thus making the actual total number of labs 41.

Table 1. Increase in Number of Laboratories at Alfaisal University from 2012-2016

Type of laboratory	Number of laboratories by Year			
	2012	2014	2015	2016
Research	4	11	12	13
Undergraduate	28	31	35	35
Grand Total	32	42*	43*	48*

* Two laboratories shared between research and undergraduate courses

The research laboratories consist of:

- Five College of Engineering labs:
 - WS-05 Intelligent Design Art Lab
 - CB-6-Renewable Energy
 - CB-10 Shell Eco marathon & Capstone
 - SG-52 Nano-indentation,
 - Product Design & Development Unit (PDDU)
- Three College of Science & General Studies labs
 - SG-77 Preparation,
 - SG-82 COSGS Faculty Research)
 - S3-59 Biosensors and Nanotechnology
- Five College of Medicine labs
 - SG-63 Physiology
 - SG-81 Biomedical Research
 - S3-73 Preparation (both research & undergrad)
 - S3-81 Path/Microbiology/Physiology (research & undergrad)
 - SB-10 Biomedical Research (HPLC)

These laboratories will help to improve the in house research quality at Alfaisal University. The Biomedical Research Laboratory, SG-81, can accommodate 12 graduate students and is 100% equipped and researches are ongoing in this lab. The new Material Testing Laboratory, WS-01, will be under the direction of COE. The Laboratory is an extension to the COE main workshop. This Laboratory can be used for undergraduate studies as well as for research. The new Thermal Fluids Laboratory-2, WS-02, is under the control of COE. The Laboratory is an extension to the COE main workshop. This Laboratory can be used for undergraduate studies as well as for research. The Renewable Energy Laboratory, CB-6, is under the COE. The Laboratory which is completed & fully equipped is located in a former store room in the basement. The new lab is dedicated to implement research studies in the renewable energy field (mechanical approach). It will provide more opportunities and will expand research progress in the renewable energy field which goes in parallel with the government's new approach to implementing renewable energy in the Kingdom. The Shell Eco Marathon & Capstone Laboratory CB-10 is under the direction of Dr. Zhao Yong from the COE. The Laboratory was dedicated as a mini workshop to allow students to build an energy efficient car so that they can participate in Shell eco marathon competition which will take place in Manila in 2015. Shell Saudi Arabia has provided direct funding to students for material and supplies. The new laboratory which is located in a former store room in the basement is also dedicated as a secure and well equipped place for the engineering students to do their final year capstone projects. The Laboratory was handed over by the contractor on 30 August 2014. The new Nanoscience and Nanotechnology Laboratory S3-59 is used for teaching undergraduate and graduate students and conducting their graduation projects. It is also used to supervise MSc student's research projects and postdoctoral researchers in the field of nanotechnology. Thus the ultimate goal for the lab is to train local talent in the biosensors and nanotechnology area and its applications in biomedical, environmental, food and security applications.

Alfaisal is a newly established university and as such has limited laboratories and facilities. In addition to its own research laboratories, the University will utilize facilities at affiliate institutions and organizations such as KFSHRC and KACST. These facilities are designated for use by both the University and respective party's faculty. Each facility has its own policies and criteria. The Office of Research and Graduate Studies and College Deans are responsible for facilitating requests by Alfaisal faculty for the use of facilities and laboratories at collaborating institutions, and for making periodic announcements pertaining to availability.

7. Student Participation in Research

One of Alfaisal's priorities is competence building by, for example, helping to develop a student's intellectual abilities. Student involvement in focused research that addresses real community problems links academic programs to the actual work place through partnerships with the public/private sectors. This will help to equip students with critical thinking and problem solving skills and thus allow them to better meet the needs of the workplace and the community.

It is the responsibility of the Primary Investigator (PI) to ensure that students who participate in research are made aware of the ethical policies and procedures and that compliance must be maintained. An account of student involvement must be detailed in the research protocol to ensure that all safety measures and necessary precautions have been taken. Endorsement forms for participation of students in research must be signed by the PI and student(s) involved.

Principal Investigators must acknowledge the contribution of students to their scholarship and research in all forms including Intellectual Works, Property, and Patents (as per section on Intellectual Property)

Graduate research is supported by the University in the form of full or partial tuition for Research Assistants during the course of their assistantships and in accordance with the stipulated tuition fee. In addition, Research Assistants receive an annual living stipend and medical coverage.

8. Intellectual Property

The Intellectual Property policy of Alfaisal University encourages creators to innovate by guaranteeing them a share in the benefits resulting from the Intellectual property that they develop. At the same time, it also promotes research and education activities at Alfaisal by allowing the University to retain a share of the benefits flowing from all Intellectual Property developed under its auspices.

The primary categories of Intellectual Property are patent, copyright, trademark and integrated circuit mask work protection, though from time to time other types of protection and other bodies of law may also fall under the broad heading of Intellectual Property. Intellectual Property rights govern ownership, licensing, distribution, and commercialization of Intellectual Property.

This section provides guidance for Intellectual Property related to research. The University Intellectual Property Policies are under development, the Faculty Handbook should serve as the main guide until the Intellectual Property Policy is approved.

8.1. Ownership of Intellectual Property

8.1.1. Creator-Owned Intellectual Property

Creators retain full ownership rights to Intellectual Property provided that the following two conditions are met: The Intellectual Property is not subject to a sponsored research or other agreement requiring ownership to reside in some other party including Alfaisal University; and Intellectual Property was not conceived, created, developed, or first reduced to practice with significant use of Alfaisal University support; and as a direct result of the creator's duties at the University.

Creators may choose to use creator-owned Intellectual Property in their research work at Alfaisal University. A creator who chooses to do so,

however, must grant Alfaisal a free, permanent, irrevocable license for use of that Intellectual Property for the University's educational and research activities.

8.1.2. University-Owned Intellectual Property

Alfaisal University retains full ownership rights to: Intellectual Property subject to the terms of a sponsored research or other agreement that grants Alfaisal rights of ownership; or Intellectual Property whose conception, creation, development or first reduction to practice involved significant use of university support and directly resulted from the creator's University duties.

8.1.3. Ownership of Intellectual Property Financed by Outside Sponsors

Alfaisal will retain title to all Alfaisal-owned Intellectual Property (section 9.1.2 above) including, but not limited to, that which is conceived, created, developed or first reduced to practice in the course of Alfaisal research or other sponsored activities funded by third parties, including private persons, businesses, not-for-profit entities, and governmental agencies unless there is a written agreement between Alfaisal and the creator to the contrary. In cases where the sponsoring agency provides 100% of the financial support and where there is an agreement in place, then the Intellectual Property ownership will belong with the sponsor, even though the names of all inventors are on the patent.

8.1.4. Intellectual Property and Conflicts of Interest

Alfaisal University personnel engaged in consulting work with third parties are responsible for ensuring that their consulting agreements do not conflict with these Intellectual Property policies.

8.1.5. Ownership, Control, and Transfer of Tangible Research Property

Alfaisal shall own any and all tangible research property that a creator conceives, creates, makes, develops, or first reduces to practice, in whole or in part, during or pursuant to his or her employment, participation in Alfaisal programs, or significant use of Alfaisal support. Any transfer of such materials to outside parties, or any transfer from outside parties to Alfaisal facilities must have the advance approval of the Office of Research.

8.1.6. Procedures for Intellectual Property Reporting, Evaluating, Protection and Commercialization

8.1.6.1 Disclosures

The creators should carefully evaluate Intellectual Property that they have created at Alfaisal in order to determine whether or not that Intellectual

Property has commercial or other value. If it does, for the protection of the interests of the creator and Alfaisal, every creator is obligated to disclose all Intellectual Property that they have created at Alfaisal. All individuals—faculty, staff, and students—who participated in the creation of the Intellectual Property should be identified, and all such creators have the right to share in the creator portion of any revenues or rights that are returned by the university.

The Office of Research & Graduate Studies is the primary contact for the creator with regard to disclosure of Intellectual Property; it is responsible for protecting, marketing, negotiating and licensing Alfaisal Intellectual Property. The creator must submit a complete invention disclosure form to the Office within 60 days of the creation/invention and before notifying outside parties, including sponsors. The Office will then determine whether the technology is appropriate for commercialization and/or protection. The decision to protect, develop, market and/or commercialize any Intellectual Property is at Alfaisal's sole discretion.

8.1.6.2. Commercialization of Creator-Owned Intellectual Property

Creators may request that Alfaisal pursue the commercial development of Intellectual Property owned by the creator. The Office of Research will evaluate the commercial potential of any Intellectual Property and determine whether or not Alfaisal will accept it for licensing. If Alfaisal decides to pursue commercialization, the creator will be required to assign his ownership of the Intellectual Property to Alfaisal. The terms of such assignment will be negotiated between the University and the creator.

8.1.6.3. Transfer of Intellectual Property to Creators

If Alfaisal chooses to waive its rights in disclosed Intellectual Property, and to grant those rights to the creator, the creator may protect the Intellectual Property as he, she, or they may wish. If external funds supported the work leading to the Intellectual Property, this waiver is subject to any provisions in the sponsoring agreement.

8.1.6.4. Intellectual Property Revenue

8.1.6.4.1. Distribution of Income from Intellectual Property

The Office of Research & Graduate Studies will calculate and distribute the net adjusted income from each Intellectual Property license or licensing related transaction according to the formula:

Net Adjusted Income = gross revenue minus current & reasonable projected expenses that Alfaisal deems necessary to defend or to maintain the Intellectual Property.

Net Adjusted Income shall be distributed as follows:


- Creator 50%
- Creator's College 10%
- Creator's Department and/or Center 15%
- University 25%

Distribution of net adjusted income will occur on a semi-annual basis.

8.1.6.4.2. Distribution of Net Equity Income Received from Intellectual Property

Alfaisal may elect to accept equity in lieu of cash payments, licensing fees, royalties, or other consideration. The decision whether to accept equity and, if so, precisely when to liquidate such equity, is at the sole discretion of Alfaisal.

Appendix 1: Office of Research Request Form

		Office of Research & Graduate Studies (2014- 2015) RESEARCH PERSONNEL, SUPPLIES & EQUIPMENT, PUBLICATION AND TRAVEL REQUEST FORM		
Emp. ID No:	Employee's Name:	Department/Division/College:		
Source of Funds	<input type="checkbox"/> External: <input type="checkbox"/> IRG <input type="checkbox"/> SRG <input type="checkbox"/> College Funds Project No.	Travel Expenses Request		
		<input type="checkbox"/> Estimated (Advance) <input type="checkbox"/> Actual Expenses		
Chemicals	<input type="checkbox"/> Advance <input type="checkbox"/> Actual <input type="checkbox"/> Facilities <input type="checkbox"/> KFSHRC <input type="checkbox"/> Other	Travel Type	<input type="checkbox"/> International <input type="checkbox"/> Local	Location
		Travel Duration (d/m/y)		No. of Days
Research Personnel Request		From:	To:
Position Requested	<input type="checkbox"/> Advance <input type="checkbox"/> Actual <input type="checkbox"/> Technician <input type="checkbox"/> Post-Doc <input type="checkbox"/> Other: (Please Specify)	Details		Amount (SR)
Name	Visa Expenses		
Proposed Salary (SR/Year)	Air Ticket Expenses		
Research Supplies & Equipment Request		Accommodation & Food Exp.		
Type	<input type="checkbox"/> Advance <input type="checkbox"/> Actual <input type="checkbox"/> Supplies <input type="checkbox"/> Equipment	Transport/Travel Expenses		
Amount (SR) (Please See Attached for Details)	Registration Expenses – (If Any)		
Publication Cost Request		Other Expenses – (If Any)		
Details		Amount (SR)		
<input type="checkbox"/> Advance <input type="checkbox"/> Actual		Total Sum :		
Submission Charge		Advance Paid :		
Page Charge		Difference :		
Other – (If Any)		Notes/Gov. Rel. Dept. Comments (if any):		
Total Sum : (Please See Attached for Details)			
Applicant		Signature	Date	
Name:/...../.....	
Department Head /College Dean		Signature	Date	
Name:/...../.....	
ACADEMIC ADMINISTRATION APPROVAL				

Research & Graduate Studies Office Name:	Signature	Date/...../.....
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Provost Office Name:	Signature	Date/...../.....
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FINANCE APPROVAL

Within Approved Budget	Funds Available
<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO

Comments:.....
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Finance Office
Name:

Signature Date/...../.....

- APPROVAL DOCUMENTS/ REQUIREMENTS**
- Copy of detailed information (supporting documentation) of the research personnel, supplies, publication and travel.

- REIMBURSEMENT DOCUMENT/S REQUIREMENTS**
- Original invoices & receipts

Form ORGGRE5