



جامعة الفيصل
Alfaisal University

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Research Policies & Procedures

2024

Office of Research & Innovation

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1. General Principles

1.1. Purpose

This document 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. Research Themes & Initiatives

Research themes are broad areas of focus that guide research efforts within a particular field or discipline. They are used to define the scope of research and to identify the key questions and issues that researchers aim to address. Research themes can be broad and encompass many different subtopics, or they can be more specific and focused on a particular aspect of a discipline. At Alfaisal University the focus remains on eight (8) main themes, energy systems, advanced manufacturing & high value materials, digital technologies, human capital, food and environment, health and pharmaceuticals, urban and logistics, and economy and privatization (<https://research.alfaisal.edu/>) (Figure 1).

These themes are in coordination with Vision 2030, the Ministry of Education, and the sustainable development goals and are in alignment with government agencies who are aligned within these themes. As new research is conducted and new insights are gained, research themes may shift and evolve to reflect these developments. In addition, the Office of Research & Innovation, in consultation with faculty in the Colleges, has also initiated five flagship initiatives Health Innovations (alfa-Hi), Advanced Manufacturing (AIAM), Human Capital (AHCI), Biotechnology (ABI), and Sustainable Development (ASDI).



Figure 1. Alfaisal University Themes & Sub Themes (2022)

2. Offices, Councils and Committees that Support Research

2.1. Office of Research & Innovation

The Office of Research & Innovation (ORI) 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 and contracts. 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. Technology Transfer Office

The Technology Transfer Office (TTO) is the entity responsible for all aspects of technology and Intellectual Property (IP) creation, management, transfer and release at Alfaisal University (<https://tto.alfaisal.edu/>). The scope of the TTO mandate is as follows:

- Develop, maintain and update programs for technology and IP management and transfer.
- Identify, evaluate and commercialize disclosed technology and IP in a periodic manner.
- Maintain complete records of all disclosed IP and material transfer agreements.
- Educate and motivate members of Alfaisal University on Technology Transfer and IP aspects.
- Values

In all its handlings, the TTO operation will be aligned with efforts aimed at the realization of the Kingdom's vision and aspirations, abiding by the laws, regulations,

and values of the Kingdom, strategically evaluating, protecting, and licensing intellectual property rights of Alfaisal University and its members.

A Director oversees and manages the operation of the TTO appointed by Alfaisal University and will report directly to the VP responsible for Office of Research and Innovation (ORI). Reporting to the VP, the Director is charged with leading the Technology Transfer Office (TTO) with carrying out the responsibilities described below and elsewhere in this Policy

The main TTO structure duties will include technology identification, assessment and filing (protection), technology and IP record management and marketing, technology marketing.

Alfaisal University is responsible for managing and executing the intellectual property policy at the university and represents the institution in all the policy issues that affect its relations with the community, government, private entities and others. It has the right to manage this policy and to grant Delegations and Authorities.

2.3. Research & Graduate Council

The Research & Graduate Council (RGC), which is chaired by the Vice President for Research & Graduate Studies or delegate, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Innovation and the Graduate School are the administrative arms of the Council and are empowered on its behalf to enforce its regulations and policies. The Council membership consists of vice deans for research and graduate studies from each of the different colleges and disciplines within the institution, as well as the Director of the Graduate School.

2.4. 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 Office of Research & Innovation (ORI) which reports to the Research & Graduate Council (RGC).

2.5. Permanent Committee for Graduate Studies

The Ministry of Education *Council of Universities' Affairs* requires that an institution should have a *Permanent Committee* to oversee all aspects of graduate studies (*adopted at Council of Universities' Affairs 9th mtg held 1 August 2022*). Chaired by the Vice President for Graduate Studies & Research, it reports directly to the University President. At Alfaisal University membership consists of Deans, Vice Deans of Graduate Studies of colleges, as well as the Director of Graduate Studies, and the Director for Quality Assurance & Accreditation. Many graduate programs, for example, also involve thesis/dissertation research and thus require oversight by the Permanent Committee.

2.6. Scientific Council

The Ministry of Education *Council of Universities' Affairs* has mandated that an institution should also have a *Scientific Council* to oversee all aspects of scientific matters pertaining to faculty members, research activities, studies, and publications (*adopted at Council of Universities' Affairs 9th mtg held 1 August 2022*). The Council is constituted for a duration of three years. The individual responsible for overseeing scientific research (i.e., VP for Graduate Studies & Research) at the university shall serve as the chair of the Scientific Council. Membership, which is approved by the Alfaisal University Board of Trustees is comprised of a representative from each college holding at least the rank of associate professor. Three faculty members from external institutions, each holding the rank of at least associate professor, are included

in the Council. The Scientific Council also has a Secretary General from the faculty members of the university, nominated by the chair of the Scientific Council and appointed by the President of the University for a renewable term of three years. At Alfaisal University, for example, the Secretary General is responsible for processing all external reviews associated with faculty promotions. The secretary neither possesses voting rights nor is included in the quorum count.

2.7. Institutional Accreditation & Quality Assurance Committee

Established in 2024 by an administrative decision from the President's Office (Ref.: M/G/24090088; Date: 05/09/2024), the *Institutional Accreditation & Quality Assurance Committee* plays a crucial role in ensuring and enhancing the quality of education and academic standards at the university by implementing quality assurance policies, maintaining documentation, providing training, and supervising audits to ensure compliance with national and international standards (<https://qaa.alfaisal.edu/>). The Committee is chaired by the Director of Quality Assurance & Accreditation. Membership consists of the College Vice Deans for QAA, and a Quality Assurance representative from the Graduate School.

Committee responsibilities include:

- Propose and implement quality assurance policies and processes to enhance the quality of teaching and learning and promote quality culture within the university.
- Communicate policies and procedures and provide training and oversight.
- Review and assess the institution's compliance with accreditation requirements, identify areas of non-compliance, and develop action plans to address deficiencies.
- Participate in the preparation of self-study reports and review visits.
- Supervise internal audits and validation of portfolios at the course, program, and college levels.
- Provide reports to institutional leadership on accreditation status and QA initiatives.
- Promote transparency in the accreditation process and quality assurance activities.

2.8. Institutional Review Board

In compliance with the provisions of the Saudi Law of Ethics of Research on Living Creatures and regulations, and under guidelines of the National Committee of Bioethics (NCBE), Alfaisal University founded and registered an *Institutional Review Board (IRB)* under the number (HA-01-R-058). The Board consists of 9 members: a chair, vice chair, and 8 members in various specialties", including Medicine, Business, Engineering, Science, Pharmacy, Biostatistics, Epidemiology, Law, and Public Health, and a community representative. In addition, the IRB has a designated coordinator.

Researchers can apply online to obtain IRB approval of their research projects (<https://irb.alfaisal.edu/>). The IRB is an independent board and does not report to the University administration.

The IRB is regulated by the NCBE with the mandate to review human subject research studies that take place within Alfaisal University. The purpose of review is to determine if the proposed research meets established regulatory and ethical criteria of the Law of Ethics of Research on Living Creatures. and its regulations, and in compliance with the guidelines of the NCBE. The IRB licenses and monitors the conduct of human subject research at Alfaisal University.

2.9. Sustainability & Strategic Planning Office

The *Sustainability & Strategic Planning Office* was established to integrate sustainability into the University's growth and development plans. Its aim is to advance sustainability in education, research, operations, and community engagement, while promoting a culture of responsibility and stewardship for the environment (<https://sustainability.alfaisal.edu/>). The University is deeply committed to its institutional mission of providing excellent and versatile world-class education, research, and innovation that contribute to serving society and achieving sustainable development. Using the University's resources and strategic partnerships, recognizes the critical importance of contributing to the *United Nations Sustainable Development Goals (SDGs)* and the country's development objectives.

Core goals:

1. Integrate sustainability principles into the curriculum across all disciplines, offering courses and programs that educate students on environmental stewardship and social responsibility.
2. Foster interdisciplinary research initiatives focused on sustainability challenges, encouraging faculty and students to collaborate on innovative solutions to environmental and social issues.
3. Implement sustainable practices across campus facilities, striving for carbon neutrality, reducing waste, conserving water, and promoting energy efficiency in buildings and infrastructure.
4. Engage the campus community through outreach programs, events, and initiatives that raise awareness about sustainability issues, empower students and staff to act, and foster a culture of environmental responsibility and activism.
5. Implement a Strategic Sustainability Plan by establishing a clear, actionable roadmap to integrate sustainability across university operations, curriculum, and community engagements, ensuring progress towards United Nations SDGs.
6. Commit to Continuous Improvement in Sustainability Practices by regularly reviewing and updating the institution's sustainability strategies and practices, incorporating the latest best practices and feedback from the community and stakeholders to enhance performance and impact over time.

2.10. Alfaisal Center for Research & Consultancy Studies

As the commercial or business arm of Alfaisal University, the *Alfaisal Center for Research & Consultancy Studies* delivers state-of-the-art applied research solutions, educational training and consultation services that contribute to sustainable economic and social development by exploiting the University's human resources expertise and through building strategic partnerships (<https://center.alfaisal.edu/about>). The business center offers services to the faculty, students, and community at large in all aspects of the following areas: Research, Training, IP, Corporate Governance, Competitiveness Center, and Innovation. With Alfaisal University's vast expertise, services and assets on-hand, the aim of the center is to stay focused on the vision and mission which is to be in the forefront of innovation, education, and free enterprise both at the national and regional level by providing applied research solutions and consultations.

One of the main initiatives at the Center, for example, is to focus on Human Capital (<https://research.alfaisal.edu/initiatives>) which is in line with the Vision 2030 to develop a resilient and strong educational base, to prepare for future and global labor markets, and to provide lifelong learning opportunities. To meet this initiative, The Center has configured and tailored an online platform called the *Alfaisal Extension* that allows for customization of any course either face-to-face, online and/or hybrid to the public, with accessibility from anywhere, anytime (<https://center.alfaisal.edu/training>).

3. Research Policies & Procedures

3.1. 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.

Funding is awarded to those who have an accepted oral presentation in a reputable conference related to an international society and that has a sponsored Q1 or Q2 journal (Web of Science) for potential publication. There is unlimited attendance for conferences with oral presentations at a reputable symposium. Funding amount follows the university policy. (*approved at UC 3rd mtg 19 March 2024*). Once every two years a faculty member is allowed to attend a conference without the need for an oral presentation.

To ensure timely support, conference attendance requests should be submitted to the Director of the Office of Research & Innovation (<https://research.alfaisal.edu/>) at least two months prior to the conference date. Applications should include the following:

- Abstract title
- Are you presenting at the conference or just attending?
- Is the mode of abstract presentation “oral” or “not applicable”?
- Name of presenter, academic title, & college
- Conference name, date(s) & location (i.e., city, country)
- Associated society of the conference & associated journal of the conference (and its quarterly ranking according to the Web of Science database)
- Documentation: proof of acceptance for oral presentations or an invitation letter to attend (if not presenting); a copy of the abstract and manuscript (if available); & approval from the Dean

3.2. Publication Fees

Support is provided where a paper is accepted for publication in a high-quality journal as per the Journal Citation Report by Clarivate. Reimbursement will be provided for publication fees for journals indexed in the Web of Science database (e.g., Q1 and Q2). Alfaisal University will reimburse 100% of the publication fees for faculty members and students who are first author, and 50% payment if faculty or students have their names on papers but not as first author. The 50% payment includes corresponding authors who are not first authors. Pre-publication review fees will be considered if approved by the dean. Fees for books and book chapters will be considered on a case-by-case basis if recommended by the dean and on the decision of the *Research & Graduate Council*. The faculty member, student or their departmental administrator must submit the request for publication fee reimbursement coverage to the Office of Research & Innovation along with the acceptance letter from the journal and copies of the invoice for the publication fees, as well as the published manuscript. The Office will review the request and process the payment to the faculty member or student. (*approved by UC at 2nd Mtg Tue. 20 Feb 2024; revised & approved 19 Aug 2024 by Senior Admin*).

3.3. Editorial Support

Alfaisal University is committed to fostering academic excellence and supporting faculty members and students in their research endeavors. As part of this commitment, the university recognizes the importance of high-quality research publications and the need for effective editing services to ensure the clarity and coherence of academic work. To address this need, Alfaisal University will subsidize editing services for up to 500 SAR per manuscript. A faculty member or student may make use of external or internal editing services. To be reimbursed a copy of a paid invoice as well as the

edited manuscript should be submitted to the Business Center (<https://center.alfaisal.edu/>). The Center will then reimburse the faculty member or student for up to 500 SAR.

3.4. Statistical Support

Statistical support is provided through the *Department of Biostatistics & Epidemiology* (<https://com.alfaisal.edu/en/biostatistics-epidemiology>). The department offers courses in biostatistics and epidemiology and has strong collaborations with public and private national and international health agencies and institutions. The department hosts seminars and special events to enhance students' learning experience. In addition, there is a *University Quality Assurance and Accreditation (QAA) department* which is dedicated to assisting the institution in achieving its strategic goals of quality, academic excellence, and continual development on a local and global level (<https://qaa.alfaisal.edu/>). This department serves as a link hub between Alfaisal University and external regulatory bodies, such as the Ministry of Education (MOE) and the *National Commission for Academic Accreditation & Assessment (NCAAA)*, as well as other professional bodies and external accrediting agencies.

3.5. 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.

3.6. Investigator Eligibility

The Principal Investigator (PI) for grants must normally 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 if the PI is unable to continue.

3.7. 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/President 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.

3.8. Procedures for Investigating Research Misconduct

3.8.1. 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.

3.8.2. 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/President 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 along with recommendations in writing to the Provost/President. The Provost/President will advise, in writing, the respondent and the complainant of the Inquiry Panel outcome. If there is to be an investigation, the Provost/President 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.

3.8.3. Investigation Stage

Investigation of alleged misconduct will be conducted by a committee appointed by the Provost/President. 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/President 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/President, who in turn may notify the sponsoring agency of the findings of the investigation.

3.8.4. Disciplinary Stage

For individuals found to have committed scholarly misconduct, the Provost/President 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, or (g) termination. Termination shall be in accord with procedures specified in the Faculty Handbook.

If there is a finding of misconduct, the Provost/President 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.

3.9. 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.

3.9.1. Institutional Review Board

Research involving the use of Biohazardous Material, Human and/or Animal Subjects must be submitted to the Institutional Review Board (IRB) for review and approval (<https://irb.alfaisal.edu/>). Funding will not be granted for research which has not been approved.

3.9.2. 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 (<https://irb.alfaisal.edu/>).

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 with the IRB 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).

3.9.3. 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 Institutional Review Board (IRB) available at each collaborating facility where the proposed research will take place. The IRB 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 IRB will not be funded.

3.9.4. 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.

3.10. 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 & Innovation

4.1. Policy Statement

The Office of Research & Innovation (ORI) 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 ORI also seeks to provide research laboratory space outside the university through collaboration with for example KFSHRC, KACST, Saudi Aramco, and KAUST.

4.2. External Research 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 externally funded research.

4.2.1. Research, Development & Innovation Authority

The Research, Development and Innovation Authority (RDIA) has developed a unique research grants and funding portfolio that ensure a sustainable and world-class national RDI ecosystem. Research grants are designed and prioritized to foster a thriving innovative ecosystem, developing highly skilled innovators and support cutting-edge research that can transform industries and create value for society (<https://rdia.gov.sa/grants/index.html>).

This major source of funding comes in three basic forms: Saudi Basic Science Initiative, Saudi Applied Research and Technology Initiative; and Reactivation and Rebuilding of Existing Labs Initiative.

The *Saudi Basic Science (SBS) initiative* seeks to support basic and fundamental scientific research in Saudi Arabia. The initiative aims to promote scientific excellence and innovation in the research ecosystem continuum. The primary objective is to achieve significant breakthroughs and advancements in the four national RDI priorities. The initiative provides funding to expand the pool of talented national researchers, to encourage their participation in targeted fields and to enable them to pursue their scientific ideas and activities at the early stages of discovery (<https://rdia.gov.sa/grants/sbs.html>).

The *Saudi Applied Research and Technology (SART) Initiative* is a project-level funding offered by RDIA. The initiative supports applied science and technology development research in Saudi Arabia with a focus on the four national RDI priorities. This initiative enables researchers to convert their

scientific activities and ideas from the discovery stage to the development stage with the possibility of market testing and commercialization. Research institutions and researchers within the Kingdom are encouraged to partner with private, public, or not-for-profit organizations while collaborating with other universities. This important opportunity allows for the development of new technologies and strengthening research links and collaborations between different institutions (<https://rdia.gov.sa/grants/sart.html>).

The *Reactivation and Rebuilding of Existing Labs Initiative* fund provided through the initiative targets the enhancement of the existing labs, which will lead to increasing the number and quality of research outputs in terms of publication, patents, or ready for commercialization IPs. It will also expand the pool of nationally talented researchers and stimulate their participation in areas that will lead to breakthroughs in targeted fields. This initiative aims to support the maintenance and upgrading of existing equipment, facilitate the hiring of research staff such as postdoctoral fellows and researchers, and enable the hiring of supporting staff like technicians, specialists, or engineers to assist researchers (<https://rdia.gov.sa/grants/rrg.html>). In 2024, for example, Alfaisal University was awarded five contracts in this category worth 17 million SAR>

4.2.2. Contracts with Industry & Foundations

External funding is also available from Saudi Aramco which holds RFP (Request for Proposals) from universities every other year, Al Anoud foundation, and Boeing.

4.3. Internal Research Funding

4.3.1. Internal Research Grants

The Internal Research Grant (IRG) stands as Alfaisal University's means to support the initiation and continuation of research efforts and projects. Specifically, the IRG is aimed at motivating publication in high quality journals, inducing patentable and commercial innovations, and encouraging both internal and external collaboration.

All Alfaisal university faculty members are obligated to have a minimum of one active Research Project (either as PI or Co PI) preferably under Alfaisal eight research themes & sub themes (see pg. 2 Figure 1) or the one of the five Alfaisal Flagship Initiative Projects are dedicated grants to expedite research and development in innovation projects (see pg. 2 Figure 2). Specifically, at increasing the Technology Readiness Level (TRL) of projects and know-how with evident maturity, with strong practical relevance and high commercial viability. Technology readiness levels (TRLs) are a method for estimating the maturity of technologies during the acquisition phase of a program (https://en.wikipedia.org/wiki/Technology_readiness_level). The use of TRLs enable consistent and uniform discussions of technical maturity across different types of technology. TRL is determined during a technology readiness assessment (TRA) that examines program concepts, technology requirements, and demonstrated technology capabilities. TRLs are based on a scale from 1 to 9 with 9 being the most mature technology. Such projects are characterized by maturity and high commercialization viability. Budgets set by the PI will only cover equipment (with justification for multi-faculty use) and consumables. ORI will facilitate access to existing National & international collaborators and MoU signing if needed. Technology Transfer Office (TTO) under ORI will facilitate patenting process (<https://tto.alfaisal.edu/>).

Applicants are kindly requested to consider the following: Alignment with Research Themes: In coordination with all Colleges, the Office of Research

and Innovation (ORI) has adopted the eight main themes for research (see pg. 2 Figure 1). From these, several sub-themes have emerged that represent the readiness and interests of members of Alfaisal University. The themes/subthemes' structure can also be found in the Application Summary section of the application form. All research proposals must show their alignment with these themes. Encouraging Patentable Work which can be Commercialized: Where practical, ORI encourages applicants to pursue work with a high potential for generating intellectual property which can be commercialized. Where ORI identifies such patent potential in a successful application, the PI will be asked to complete an invention disclosure and protection form in the first six months of funding.

The IRG eligibility requirements are as follows.

- Principle Investigators (PIs) must have a professorial rank (i.e., assistant, associate, or full professor).
- Postdoctoral fellows, lecturers, or instructors can act as CO-I.
- A PI can only have one active IRG at a time.
- A PI of an active project can act as Co-I on only one other project.
- Work supported by IRG funding should not be supported by other sources.
- PI must obtain all external logistics related to the project before applying (e.g., IRB approval if required, use of external labs, SFDA approvals).
- Applications without Co-I will need to be co-signed by the PI's College VDRG.

Funding priority of proposals will favor those with high patenting or commercialization potential.

Faculty members who fail to submit required progress reports in a timely manner, who do not utilize the allocated budget, or who do not produce publications from awarded grants may be deemed ineligible to apply for new IRG grants for a period of one year.

4.3.2. President's Initiative Fund

Larger funding for faculty is provided through the *President's Initiative Fund (PIF)*. These are substantial highly competitive two-year (up to 500,000 SAR) grants. All proposals are initially reviewed by the respective College Research Committee before being forwarded to the Office of Research & Innovation (ORI) which sends the proposals out for external review. The final review and approval are done by the VP for Research & Innovation and Graduate Studies in coordination with the ORI.

It is an Alfaisal University requirement that internal research funding results in research proposals submitted to outside research funding agencies, such as RDIA, 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 PIF grants must clearly indicate financial support in the acknowledgement section of the manuscript. The following statement should be used: "*Financial support from Alfaisal University through grant IRG/PIF 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 & Innovation is responsible for circulating news about Centers and availability of Chairs.

6. Facilities and Laboratories

The university has a total of 118 laboratories, workshops and studios to support research and teaching (*data from Dec 2023*). Many laboratories have a dual function of both research and teaching (<https://corelabs.alfaisal.edu/>). In addition to its own research laboratories, the University also utilizes facilities at affiliate institutions and organizations such as KFSHRC, KACST and KAUST. 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 Innovation 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. Oversight of laboratory usage is provided by a *Laboratory Supervisory Committee* which is chaired by the VP External Relations, and which has members from the colleges as well as Facilities Department (see *section 6.1 for more details*).

Research, teaching, and graduate education are major priorities of Alfaisal University that often require substantial infrastructure, including laboratory space. The space requirements for research activities can vary depending on the academic disciplines. Consequently, a university policy is required for colleges and departments to manage laboratory research and teaching space to make informed decisions regarding research space creation, allocation, renovation, or discontinuation. However, irrespective of the diverse needs of each academic discipline, some overarching principles regarding assignment of research space must be in place to help colleges and department to work under a central administration and to efficiently use the allocated laboratory space. Accordingly, the following guidelines were developed initially by an ad-hoc Alfaisal University Laboratory Policy and Structure Committee and then revised by the Laboratory Supervisory Committee which was established in 2023 to plan and assign research and teaching space and align these decisions with the campus wide regulatory practices. College and departments of Alfaisal University should refer to these guidelines when allocating or assigning both sponsored and non-sponsored research space.

6.1. Laboratory Supervisory Committee Guiding Principles

A *Laboratory Supervisory Committee* was formed on 2 Sept 2023 by an Administrative Decision from the University President. The Committee was tasked with ensuring the optimal utilization of Alfaisal University laboratories to cater to various purposes, including facilitating teaching for both undergraduate and graduate studies, supporting research initiatives, and fulfilling obligations related to contracted projects. Guiding principles included:

- Any research space belongs to the institution and is a valuable resource. The President is ultimately responsible for the allocation of research space to colleges and departments.
- Research and teaching space is allocated based on program requirements and priorities as determined by the *Laboratory Supervisory Committee*, in consultation with the VP GRI, College Deans, Laboratory Managers and faculty and staff members.
- Colleges and departments are required to develop quantitative measures to assist in periodic evaluation of research space utilization and determine how the current allocation of research space meets their stated program requirements and priorities.
- Research space assignments are not permanent, and each space is assigned to activities and not individuals. Accordingly, any laboratory space is subject to reassignment as activities change.
- Teaching space in laboratories is dependent on scheduling of courses and is assigned through the Student Affairs Scheduling system.

- Any designated space that is currently vacant or deemed underutilized should be reassigned or repurposed. College and departments should have a clearly defined plan to improve the utilization of an existing or newly released space.
- Colleges and departments may decide to subsidize certain research activities that do not generate sufficient indirect cost recovery to fully support the infrastructure and space usage operating costs, based on their operating budgets and research priorities. However, the rationale and period for the subsidy must be clearly defined.
- Optimal use of research space includes shared use of all available resources and facilities.
- Research space assignments should be based on Alfaisal University existing facilities, where possible, to ensure that current facilities are fully utilized before pursuing any major construction or renovations. Space renovations must follow the college and university approval processes to ensure that space utilization meets the strategic needs of the college.
- Research space, equipment, and materials must adhere to all health and safety policies and procedures.
- Research conducted in Alfaisal University facilities must primarily support the university interests and relationships, with all research conducted adhering to the university conflict of interest policies.
- Research space allocation must adhere to the university policies that prohibit discrimination.

7. Student Participation in Research

7.1. Annual Research Day Student Poster Competition

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 workplace 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. To achieve these aims an *Annual Research Day Student Poster Competition* has been held at Alfaisal University since 2009. The 1st competition in 2009 for example had 20 posters while the 15th competition held in 2024 had over 350 posters. Student's registered using an on-line application form (<https://research.alfaisal.edu/poster-comp>). The online system will automatically send a poster code to the email address of the corresponding student author. This code must be placed on the poster in the upper RHS in the place indicated. All posters must be physically put up in the Venue (i.e., 1st floor hallways) one week before the competition and only on the whiteboard containing the specific poster codes. Students may submit a research paper in one of the following four categories:

- Business, Management & Law
- Engineering & Technology
- Medicine, Pharmacy & Health Science
- Science & Humanities

Any undergraduate or graduate student currently enrolled at a university is eligible to apply. Judging is done by groups of faculty judges in the respective categories. Each group evaluates up to 20 posters. The latter is a mini competition awarding 1st, 2nd and 3rd prizes from within the group of up to 20 posters. Winning posters are recognized at an *Annual Research Awards Ceremony* (<https://research.alfaisal.edu/research-awards>) with a small trophy, cash awards and group photos with the Senior University Administration.

Finally, it is the responsibility of the Primary Investigator (PI) (i.e., faculty) to ensure that students who participate in research are made aware of the ethical policies and procedures and that compliance must be maintained. See *Institutional Review Board (IRB)* (<https://irb.alfaisal.edu/>). 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).

7.2. Dimensions Startup Studios for Innovation & Design Thinking

Alfaisal University's Startup Studios for Innovation & Design Thinking, Dimensions, is comprised of state-of-the-art specialized services and programs that offer start-ups and early-stage businesses with the support and resources that young companies find difficult to access (<https://dimensions.alfaisal.edu/>). Assistance is provided with a complete ecosystem with full access to networks, investors and mentors, as well as co-working spaces alongside other businesses and experienced professionals.

Startup Studios provide specialized services and programs to help entrepreneurs turn their ideas into business success stories. The Studios give entrepreneurs access to dedicated resources like strategic partnerships and advice, market research and data analysis, and entry to specialized facilities and spaces. Entrepreneurs can also benefit from pitch and presentation preparation, regulatory guidance and compliance, access to potential customers through pilot programs and Demo Days, as well as technical advice and assistance. Startup Studios aim to provide entrepreneurs with the expertise, connections, and skills to take their ideas to the next level.

The Dimensions ecosystem is comprised of three state-of-the-art centers, the *INVENT Center for Innovation and Design Thinking*, *SparkTank Incubation Startup Studios*, and *IMAGINARIUM Toys and Games Discovery Studios*.

Services offered:

- *Co-Working Space*: A Space where students can make their dreams come true.
- *Funding*: Dimensions funds students to start developing their business.
- *Mentorship*: An expert answering questions.
- *Networking*: At Dimensions, networking is a major player to push start-ups.
- *Training*: Dimensions provides students with beneficial training.

Dimensions Startup Studios for Innovation & Design Thinking aims to create a vibrant innovation and technology ecosystem to deliver social and economic benefits to the Kingdom and its region; and connect stakeholders, facilitate knowledge transfer, and nurture talents to accelerate technological innovation and commercialization. To achieve this, the Startup Studio provides services to assist technology start-ups in their vulnerable inception stages, enabling them to grow and flourish. Advancing towards Vision 2030 with tangible goals, this business Startup Studios for Innovation and Design Thinking, offer entrepreneurs the capacity to take a multifaceted approach to crafting the future. Here, innovative concepts become investments, products, services and companies, spearheading a lively, technological setting to generate positive social and economic gains. What is more, with help, entrepreneurs have access to capital and the opportunity to team up with scholars.

Our Mission: Fuel startup ingenuity with design thinking and technology to forge transformative solutions.

Our Vision: Shape a future where creativity and technology drive meaningful everyday enhancements.

Main objectives include:

- Empower entrepreneurs in key sectors for innovative growth.
- Cultivate innovation and collaboration in business creation.

- Drive economic growth and societal impact through partnerships.
- Equip healthcare entrepreneurs for societal innovations.
- Enhance learning and talent in Industry 5.0 for future advancements.
- Develop a global innovation ecosystem for sustainable progress.

7.2.1. Experimental and Discovery Studios for Encouraging Creative Thinking & the Entrepreneurial Spirit

Three experimental and discovery studios encourage creative thinking and embody the entrepreneurial spirit. Together, these three Studios offer a complete suite of resources to help students turn their ideas into tangible products and services. This forms part of the larger umbrella of the Dimensions Startup Studios, which provides a suite of services to support aspiring entrepreneurs and enable their dreams to come true.

Starting with concept creation, the Startup Studios for Innovation and Design Thinking aid with the idea validation process up until the actual launch of the product or service. Mentorship and resources focus heavily on the development and growth of the business, including the formulation of business plans, fundraising, marketing, legal advice, and financial planning. With the launch of the business and getting it off the ground, the Startup Studios for Innovation and Design Thinking helps with finding VCs, rent-free offices and labs, and access to a vast network of potential customers and partners. Regular events, talks and workshops are held to share knowledge, experiences, and best practices in the field of innovation and entrepreneurship.

7.2.1.1. INVENT Studios for Innovation & Design Thinking

INVENT's mission is to equip our community with the skills needed to become leaders in innovation, design thinking, and technology. Its Vision is to create a vibrant, global community of innovators, where individuals from all walks of life can come together and share their unique perspectives and expertise.

INVENT studios aim to help students and professionals who want to be creative problem solvers by reducing the risk of failing to solve challenges and enabling the innate human creativity and imagination to invent solutions that advance careers and create new jobs, services, and inventions. The studios allow for high-calibre design thinking. Innovation experts train students and professionals to create new and innovative ideas and solve problems.

Two leading in-house or on-demand services are offered to achieve its mission and commit to its core values. There are course-based and program-based Design Thinking Certificates (IDEATE and CREATE Studios). The second consists of consultation services for all government and private sectors (GENERATE Studio).

7.2.1.2. SparkTank Incubation Startup Studios

The *SparkTank* goal is to provide a supportive environment for entrepreneurs to launch and grow their businesses with access to professional mentors, training programs, and resources. From early concept development to full scale business implementation, the Spark Tank team is committed to ensuring every entrepreneur has the tools they need to succeed. Custom-tailored support programs are offered to help each business achieve its goals and reach its full potential. In addition to providing business guidance, financial, technological, and emotional support are also provided for entrepreneurs throughout their journey.

Services Offered include:

- Management training
- Advisory services
- Access to capital sources (loans, grants, network of potential investors)
- Assistance with core business operations (accounting, market research, marketing, legal compliance)
- Access to office space and other operating resources (necessary software, hardware)
- Access to Dimensions full innovation ecosystem.
- Access to the Advanced Manufacturing Center, specialized labs in major fields of study: medical, engineering, business, science, law and international relations, among many others.

7.2.1.3. IMAGINARIUM Toys and Games Discovery Studios

This Studio stands at the forefront of toy and game innovation, merging play with purpose for a transformative user experience. Its mission is to cultivate creativity and foster innovation in toy and game design, offering a platform where visionaries can bring their playful inventions to life. At IMAGINARIUM, play is a serious business that shapes minds, builds communities, and transcends boundaries.

Services offered include:

- *Creative design workshops*: These sessions equip participants with the skills to ideate, prototype, and refine innovative toys and games.
- *Market readiness preparation*: Guidance on branding, marketing, and the regulatory aspects of toy and game development to ensure successful market entry.
- *Networking opportunities*: Connections to industry leaders, potential collaborators, and markets to facilitate the growth and visibility of new products.
- *Access to testing labs*: Facilities to test and perfect physical-digital play products in real-world scenarios.
- *Linkages within the Dimensions innovation ecosystem*: Collaborations with Spark Tank Incubation Startup Studios and INVENT Studios for holistic product development and innovation support.

8. Intellectual Property

8.1. Intellectual Property Policy

This policy recognizes *Intellectual Property (IP)* as an invention and/or material that may be protected under a patent, trademark, and/or copyright laws, or by a contract. *The IP policy follows SAIP regulations, was sent to the university Lawyer through the Advancement Office and has been approved (2022).* Considerations for IP concepts and/or “technology” includes, but is not limited to, the following:

- Inventions, whether patentable or unpatentable, and whether reduced to practice, and all improvements thereto.
- Patents, patent applications, patent disclosures, utility models, utility model applications, and utility model disclosures.
- Trademarks, service marks, trade names, domain names and logos, and industrial models, and all goodwill associated therewith.
- Works of authorship, copyrights, whether registered or unregistered (including copyrights in software and datasets), “moral” rights and applications for copyright registrations.
- Confidential and proprietary information, or nonpublic processes, procedures, trade secrets, designs, drawings, specifications, technology, know-how,

techniques, algorithms, databases, data collections, datasets, formulas, concepts, developments, improvements, marketing plans, ideas, and technical data and information, and all software.

- All moral and economic rights of authors and inventors, however denominated.
- Divisions, continuations (in part or in whole), renewals, reissuances, and extensions of the foregoing (where applicable).
- Any similar or equivalent rights to any of the foregoing throughout the world.

8.2. Ownership

Unless otherwise noted, to the extent permitted by applicable law or any agreement, and without prejudice to the right of the inventor, all Technology and/or Intellectual Property conceived, first reduced to practice, authored or created, in whole or in part, by one or more members, sponsored affiliates, or commissioned entities, during their stated responsibility to Alfaisal University, and/or with more than incidental use of Alfaisal University facilities or resources, is the property of Alfaisal University.

Exception for Traditional Academic Works: Subject to any agreements with third-party sponsors and collaborators, members of the ALFAISAL UNIVERSITY Community shall own all rights to their Traditional Academic Works. However, ALFAISAL UNIVERSITY shall have a perpetual, non-exclusive, royalty free license to use such Works for research and educational purposes.

Copyright Notice: All published works of authorship shall bear a copyright notice composed and affixed in accordance with Saudi Arabian law and international copyright treaties to which Saudi Arabia is a signatory. ALFAISAL UNIVERSITY - owned materials shall bear the notice: ([year of publication]) Alfaisal University. All Rights Reserved; or such other notice, as may be required by law. No other academic division, research center or other name may be used in the copyright notice, although the name and address of ALFAISAL UNIVERSITY may be listed below the notice.

If any members of the university community accepts to join it, they agree that this policy will apply to them.

The TTO is responsible for all aspects of managing the University intellectual property. TTO&IP staff are always available to discuss the intellectual property implications of work and to provide guidance and answer questions with respect to the University Intellectual Property Policy, as well as the ins and outs of disclosure, evaluation, patenting and licensing.

Title to such Technology and/or Intellectual Property shall be assigned to Alfaisal University immediately upon conception, reduction to practice, or creation.

Alfaisal University ownership excludes prior work, e.g., Intellectual Property owned prior to joining Alfaisal or prior to engaging in work with Alfaisal University. However, where prior work is used towards work at Alfaisal University, funded or otherwise, the inventor must grant Alfaisal University, an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property.

Towards this end, newly recruited members shall disclose all owned prior work to the TTO&IP within one month of joining Alfaisal University, regardless of expected use or further development while at Alfaisal University.

By law, Alfaisal University ownership further extends to any Intellectual Property conceived, first reduced to practice, authored or created, in whole or in part, by one or more members of its members, sponsored affiliates, two years after departing Alfaisal University. Towards this end, a departing member shall disclose any pending work as part of any exit procedures.

Whereby the Intellectual Property was developed by an employee without the support of Alfaisal University, and where the development is not made during the employee's working hours at Alfaisal University, the Intellectual Property becomes the property of

the employee. In such cases, the employee may seek Alfaisal University's support to fund the protection and/or the commercialization of the Intellectual Property, and the Intellectual Property will be subject to assessment by Alfaisal University.

After assessment, if Alfaisal University decides not to pursue protection, commercialization or support of an invention, and where the interests of a third party are not infringed upon, Alfaisal University's interests shall be released to the inventor provided that the university has the right and authority subject to an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property.

Further elaborations on ownerships are discussed in the section on Framework for Engagement with Third Parties.

8.3. Students

Intellectual Property developed by a student at Alfaisal University, whether as part of course work, senior (capstone project), thesis and/or dissertation; and made using Alfaisal University facilities and/or funds, is the property of Alfaisal University.

Where student work is funded, in part or in whole, by a sponsor external to Alfaisal University, ownership will be subject to assessment and review of terms of agreement with the external sponsor.

In all cases, a student shall initially disclose to the TTO any resulting Intellectual Property, and must grant Alfaisal University an irrevocable, perpetual, royaltyfree, nonexclusive, worldwide right to the use of the Intellectual Property.

For graduate students, an embargo shall be enacted on all thesis and/or dissertation until an assessment is made of the thesis work for possible patenting. Such an embargo supersedes the student's during the assessment period. Accordingly, such assessments will be expedient, and shall weigh the tradeoffs between prolonging the embargo, protection expenses, and/or gains from reporting findings in typical research venues. Where assessment determines possibility of patenting, the graduate student will be asked to submit a formal disclosure to the TTO

Whereby the Intellectual Property was developed by a student without the support of Alfaisal University, and where the development is not made during the student's working hours at Alfaisal University, the Intellectual Property becomes the property of the student. In such cases, the student may seek Alfaisal University's support to fund the protection and/or the commercialization of the Intellectual Property, and the Intellectual Property will be subject to assessment.

Where upon assessment Alfaisal University does not want to pursue protection or commercialization or support of an invention, and where the interests of a third party are not infringed upon, provided that the University shall have the worldwide irrevocable, perpetual, royalty-free right and authority, nonexclusively towards the use of intellectual property.

Students involved in an effort leading to the development of Intellectual Property shall be, in all relevant aspects, treated by the TTO and Alfaisal University in the same manner as non-students involved.

8.4. Exceptions

At the university's discretion, and with its interests and its members fully minded, Alfaisal University may establish exemptions to the ownership policies set out in this policy.

8.5. Duty to Disclose

An inventor member at Alfaisal University is obliged to promptly disclose the

development or the viability of development of an Intellectual Property to the TTO&IP. Unless otherwise noted or agreed upon, such Intellectual Property shall be assigned solely to the University. Whereby the Intellectual Property was the result of funding external to Alfaisal University or made through an Alfaisal University partnership with a third part, ownership will be determined through review of prior agreements through assessment. In all cases, however, the obligation to disclose to the TTO stands.

Whereby the Intellectual Property was developed by an employee or a student without the support of Alfaisal University, and where the development is not made during the employee's or student's working hours at Alfaisal University, and where the University upon assessment agrees to management the Intellectual Property, the obligation to disclose to the TTO stands. Alfaisal University's support, minding its interests, shall be at its discretion. Where Alfaisal University accepts the management of such Intellectual Property, the obligation to disclose to the TTO stands, and the property shall be assigned to the University.

8.6. Confidentiality and Conflict of Interest

Where any patentable Intellectual Property is involved, and to ensure the success of the protection and commercialization stages, Alfaisal University, its members, the TTO and the inventor shall exercise confidentiality at all stages of technology transfer. Throughout the technology transfer process, the inventor is further obliged to disclose any nominal, emerging and potential conflicts of interest deemed relevant to the Intellectual Property at hand.

8.7. Disclosure and Evaluation of Intellectual Property

8.7.1. Mandatory Disclosure

All Intellectual Property made by members of the ALFAISAL UNIVERSITY Community must be disclosed to the TTO Director in a signed written document in an approved format ("Invention Disclosure Form"), even those believed by the Inventors or Authors to be unrelated to their ALFAISAL UNIVERSITY duties and not involving the use of ALFAISAL UNIVERSITY funds, resources or facilities. Disclosure must be made as soon as practicable and must comply with any applicable others agreement. Disclosures shall completely and accurately convey all relevant information in a thorough and timely manner and shall be signed by all Inventors and Authors. At the time of disclosure, and continuing thereafter, Inventors and Authors shall promptly: (1) disclose all potential conflicts of interest in accordance with the ALFAISAL UNIVERSITY Faculty and Staff Member Conflict of Interest and Conflict of Commitment Policy; and (2) disclose to the TTO Director any known information, including prior art reference(s), that may be reasonably expected to be material in the examination of a patent, utility model, design, or trademark application, directed to his or her invention, work or creation, or to be material to a determination of originality of a work to be protected by copyright.

8.7.2. Disclosure of Intellectual Property Upon Exit

The University departing member shall disclose any pending work upon as part of exit procedures.

8.7.3. Stance on Public Disclosures

TTO mandate is to advise and support the commercialization of technology and Intellectual Property, especially where benefits can be identified to Alfaisal University, the inventor, and the society. The inventors' right to freely publish their creations and findings shall hence neither be limited nor restricted. Alfaisal University further acknowledges and supports the role of all forms of open or public copyright and/or licenses, and inventors' right to allow such access remains at the inventor's full discretion. Notwithstanding, inventors are advised

to consult the TTO prior to such public disclosures, especially in cases of high potential for commercialization. Where an invention has been disclosed to Alfaisal University, and the University has agreed to manage the Intellectual Property, the decision to publicly disclose the technology will be solely at the University's discretion.

8.8. Other Categories of Intellectual Property

8.8.1. Trademarks

ALFAISAL UNIVERSITY shall have sole ownership and right to register, use and display trademarks and domain names incorporating any trade designation, word, device, or logo, or industrial models, or any variant thereof of ALFAISAL UNIVERSITY or any other ALFAISAL UNIVERSITY Trademark Intellectual Property. Filing of any application or adoption by use of any other Trademark, similar or related to any trade designation, trademark, word, name, device or logo of ALFAISAL UNIVERSITY, according to ALFAISAL UNIVERSITY's Name, Logo and Trademark Policy, by any person seeking possible protection through trademark registration, business name registration, or use must submit the request for approval with an appropriate justification. No member of the ALFAISAL UNIVERSITY Community may use or alter ALFAISAL UNIVERSITY's name, trade designations, word marks, devices, trademarks or logos to designate or endorse any goods or services, without the prior written approval of the university. The TTO Director may register and manage trademarks that are developed to commercialize or license Intellectual Property.

8.8.2. ALFAISAL UNIVERSITY Confidential Information

ALFAISAL UNIVERSITY Intellectual Property disclosures, legal documents, research results and certain proprietary business information may have commercial or legal value when held confidentially ("Confidential Information"). Proprietary information arising out of ALFAISAL UNIVERSITY work, including, but not limited to, terms of research agreements, financial arrangements or confidential business information shall be retained in confidence to the extent required to effectively conduct business. Confidential Information should be disclosed to third parties only under the terms of a non-disclosure agreement or as otherwise may be approved by the TTO Director or the University. The ALFAISAL UNIVERSITY Community shall adhere to the following when handling Confidential Information: a) Research in progress, unpublished research results and proprietary information received from others shall be treated with care and with due regard for potential patentability and the confidentiality obligations attached thereto. Written records must be kept of the date, the identity of the recipient and the extent of disclosure of any of the foregoing information. b) Information received by ALFAISAL UNIVERSITY from others under a confidentiality agreement may only be disclosed within ALFAISAL UNIVERSITY to persons having a need to know such information. c) In limited circumstances and in furtherance of ALFAISAL UNIVERSITY's strategic interest, the TTO Director and ORI may, hold and commercialize unpublished information as a trade secret in countries where trade secrets are legally protected.

8.9. Commercialization

The TTO&IP may pursue commercialization of Alfaisal University technology through viable means, including but not limited to technology or Intellectual Property licensing, assignment, and/or establishing an affiliate to the University. At the TTO's discretion and through assessment, the TTO may also be sought to commercialize technology not owned by Alfaisal University.

Where Alfaisal University technology and Intellectual Property is involved, the University shall be the sole responsible entity responsible for handling all legal agreements, including license and or assignment, be it exclusive or non-exclusive, and creating affiliate companies. In all cases, the TTO's decision to commercialize a technology is independent from the decision to own or protect, and neither decision should be understood to imply the other.

8.10. Licensing and Assignment

All Technology and Intellectual Property owned by Alfaisal University shall undergo a continuous, periodic assessment of potential. The TTO shall work to publicize and promote technology owned by the University. This can be made through self-contained descriptions on the TTO website, or through dedicated portfolios and/or brochures.

The decision as to whether to license or to assign a technology shall bear in mind the interests of the University and the technology inventors. This includes moral, legal, and financial considerations, in addition to considerations for potential harm or hazard.

If the TTO decides that it will longer maintain the protection for a technology or an Intellectual Property, nor consider it for commercialization, it shall release the technology to its inventors. In such instances, the release will be subject to an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property by Alfaisal University.

8.11. Startups

The university has discretion in the creation of a startup. However, the TTO may be sought for supporting the creation of the startup, or, upon assessment, extend an offer to support the creation of the startup.

TTO's assessment for creating or supporting the formation of a startup shall bear in mind the strategic interests of the TTO or Alfaisal University and shall decide on whether Alfaisal will invest in the formation, and whether this investment will be made towards equity. Notwithstanding, the decision, extent and type of support remains at the University full discretion.

At university discretion, the TTO may accept an equity in a startup it created in exchange for costs incurred in protection and management of the technology or Intellectual Property. At university discretion, the TTO may also base the startup on one or more technologies owned by Alfaisal University. Where the startup involves technology not owned by Alfaisal University, the TTO shall work to satisfy the necessary moral, legal and financial obligations.

8.12. Inventor Role

An inventor shall support the highest success for all efforts made in protecting, managing or commercializing the inventor's technology or Intellectual Property.

These obligations include but are not limited to:

- Not interfering with or jeopardizing TTO's efforts.
- Observe necessary confidentiality measures.
- Disclose consequent technology and/or conflicts of interests.
- Avoid legal disputes adversely affecting TTO's efforts.
- Refrain from acting on behalf of Alfaisal University or the TTO in any agreements, access to facilities, or acquiring technology or Intellectual Property.

Meanwhile, the inventor's role prior, during, and after the creation of a startup based on the inventor's technology, as well as any considerations for compensation and/or title position, shall not impact the inventor's core duties and/or obligations at Alfaisal University. It is a good practice to have the University Community sign a written agreement that clearly addresses the duties and the issue of ownership of rights in

such cases.

8.13. Revenue Considerations

The TTO shall act to identify, calculate and distribute any revenue resulting from its commercialization activity in an accurate and expedient manner. Prior to any revenue distribution, the TTO shall recover all costs incurred by Alfaisal University at all stages of technology transfer, including but not limited to pre-disclosure funding, management, protection, promotion, and/or startup support. Such costs span direct monetary expenditure as well as in-kind, i.e., supplies, use of facilities, or staff support.

The revenue to be distributed is hence the net revenue (or net income), i.e., gross revenue (or income) less all costs incurred by Alfaisal University. Where a third party has supported an aspect or more of the development or the transfer of the technology, or where the technology has been the outcome of work commissioned by the TTO or Alfaisal University, revenue considerations shall be bound by initial agreements, as discussed in the section on Framework for Engagement with Third Parties. Finally, all financial aspects of the TTO shall be liable to audit and governance by Alfaisal University.

8.14. Net Revenue Shares

The net revenue shall be distributed in the manner described in Table 1.

Table 1. Net Revenue Distribution

Net Revenue (SAR)	0 to 200,000	200,001 to 400,000	Above 400,000
TTO Administrative Fee	15%	15%	15%
Alfaisal University	15%	25%	35%
Inventor	70%	60%	50%

Where multiple inventors are involved, the TTO shall default to distributing the “Inventor” share equally among the inventors. Where a student is involved in the invention, the student shall be regarded as equal to all other inventors. Where all inventors agree to a non-equal distribution, or where all inventors agree to recognize a non-inventor in the distribution of the net revenue, such agreement must be overseen and documented by the TTO.

8.15. Intellectual Property Transactions and Revenues

8.15.1. Authorized Transactions

The TTO Director is responsible for protecting, managing and commercializing Intellectual Property owned by ALFAISAL UNIVERSITY or in which ALFAISAL UNIVERSITY has a beneficial interest, and ensuring that technology transfer practices further and advance ALFAISAL UNIVERSITY’s economic development mission. The Director, in consultation with ALFAISAL UNIVERSITY, is to use reasonable professional care in discharging these responsibilities. Due to changing laws, markets, and the nature of new technology itself, the Director is authorized, after obtaining written approval from the university and after appropriate due diligence, to exercise discretion and flexibility to implement such practices and negotiate such agreements as may be required to achieve the purposes of this Policy. For example, the Director may grant to third parties various rights to research results, Tangible Research Property and Intellectual Property for appropriate compensation and under other terms as may be prudent to further ALFAISAL UNIVERSITY’s

economic development mission, including assignment of ALFAISAL UNIVERSITY Intellectual Property rights in whole or in part to third parties subject to approval by the ALFAISAL UNIVERSITY.

8.15.2. Payments to Inventors and Authors

It is the intent of ALFAISAL UNIVERSITY through this Policy to incentivize Inventors, Authors and other stakeholders to participate in technology transfer and economic development by sharing with them Net Revenues, obtained by ALFAISAL UNIVERSITY from the commercialization of Intellectual Property. Individual Inventors and Authors shall receive a percentage of the Net Revenue that was received and obtained by ALFAISAL UNIVERSITY from the transfer of rights in the respective Intellectual Property they individually created. Any remaining Net Revenue shall be dispersed to the University and used at the discretion of the university. Where there is more than one Inventor or Author, the percentage of Net Revenue allocated for payment to the Inventors or Authors shall be divided equally among the various Inventors or Authors unless the participants have unanimously agreed otherwise in writing.

8.15.3. Payment Terms

Payments shall be subject to all laws of the Kingdom of Saudi Arabia and other countries when applicable and in accordance with other agreements. ALFAISAL UNIVERSITY shall not be responsible for accounting for or reporting such payments for tax purposes. Compliance with all tax laws and any liability under such laws shall be the responsibility of persons receiving payments (The Beneficiary). In the event of the death of a payee, such payments shall continue to their successors in interest, estates or heirs to the extent permitted under the laws of Saudi Arabia.

8.16. Institutional Responsibility

The TTO Director shall always act in ALFAISAL UNIVERSITY 's strategic interest to ensure that Intellectual Property attains the maximum benefit to ALFAISAL UNIVERSITY and the Kingdom of Saudi Arabia. The King Faisal Foundation shall have sole discretion within the constraints of this Policy and available resources to determine which Intellectual Property shall be patented, registered or otherwise legally protected and, when appropriate, how it may best be maintained and transferred. In any case of Intellectual Property disclosed under this Policy, ALFAISAL UNIVERSITY shall not be obligated to any individual Inventors (members) and Authors to seek legal protection for any Intellectual Property, e.g., by filing a patent application, waive or transfer the rights to the Intellectual Property, seek any financial terms or to institute or defend any legal proceedings.

8.17. Framework for Engagement with Third Parties

The TTO is solely responsible within Alfaisal University to oversee all agreements involving the development and/or transfer of technology or intellectual property.

In doing so, the TTO is bound by the elements of its mandate and adheres to the values set out above. Furthermore, in all its handling, the TTO shall be mindful and protective of the interests of Alfaisal University and its members and affiliates. Towards this, all TTO agreements, in template or in final, shall be subject to review by either Alfaisal University's Legal Department.

Where in any interaction with a third party a member of Alfaisal University contributes to the development of a technology or Intellectual Property, the University becomes the default owner, unless otherwise stipulated in the agreement.

8.18. Non-Disclosure Agreement (NDA)


Prior to any engagement with a third party whereby technology development or transfer is discussed, the TTO shall establish and document a Non-Disclosure Agreement (NDA). This requirement extends to TTO's designates or those acting, upon permission, on the TTO's behalf.

TTO's engagement in a NDA shall identify the following, among other things.

- The parties involved
- The starting date and duration of the agreement
- The parameters of disclosure, such as,
 - Extent of access
 - Extent of use
 - Extent of further development
 - Extent of replication
- Individuals involved in the disclosure
- Consequences of disclosure during the term of agreement
- Consequences of disclosure after the term of agreement concludes
- Governing law(s) and/or jurisdiction(s)

(STOPPED AT SECTION 21 pg 24 of AU IP Policy)

Appendix 1: Office of Research & Innovation Expenses Form

 جامعة الفيصل Alfaisal University	Office of Research & Innovation (ORI) Expenses Form	Office of Research & Innovation
Project No:	Alfaisal ID No:
Source of Funds	<input type="checkbox"/> External <input type="checkbox"/> Internal Name of Funder:	
Equipment	<input type="checkbox"/> Advance <input type="checkbox"/> Actual	
Supplies	<input type="checkbox"/> Advance <input type="checkbox"/> Actual	
Consumables	<input type="checkbox"/> Advance <input type="checkbox"/> Actual	
Other	<input type="checkbox"/> Advance <input type="checkbox"/> Actual Define:	
Applicant Name:		Signature
.....	
Date	/...../.....
College Research Head Name:		Signature
.....	
Date	/...../.....
ORI APPROVAL		
Name:		Comments:
.....		
.....		
Signature	Date
...../...../.....
FINANCE APPROVAL		
Name:		Comments:
.....		
.....		
Signature	Date
...../...../.....