



Office of the Vice President for Research
Research Sector

Rules & Regulations

Research Support System



2013

K u w a i t U n i v e r s i t y

Rules and Regulations (Third Edition)
Research Support System, 2013.
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Research Sector

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Production

Research Sector

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Preface

The manual of Research Support System Rules & Regulations, 2013, has progressed into its third edition, with a wider scope and substance, providing latest outlook of Research Sector's Rules & Regulations for the grant of awards and supportive facilities to faculties for pursuing advanced and innovative research. The manual documents currently applicable bylaws on the fundamentals of research support system at Kuwait University, with inclusion of new clauses, and clarifications on existing articles, as RS moves towards creating a receptive and flexible system of governance in rendering grant support.

The underlying purpose is to set the faculties momentum for scientific innovation and creativity through greater provisions, benefits and resources as stimulants for high quality research, the compelling basis for which is the RS Research Support System, mobilizing the entire grant process. This system is continuously being reviewed and reformed to make it an attractive domain for researchers to claim funds under any of the established grant support categories, through well defined, original and scientifically sound proposals in basic and applied sciences, and in arts and humanities.

With RS policy geared to achieving this purpose, the manual ideally provides a most reliable and authentic guide on current procedures, new additions and modifications, deemed necessary in the changing scientific climate. New grounds for research and development have been created with the induction of two new programs within the RS policy framework, concerning the establishment of Research Chair and Postdoctoral Fellowship (Chapter 9), both purely research centered openings, significantly enhancing RS commitments beyond the existing grant support dimensions, with new legislative clauses stipulated and included in the manual.

The manual redefines the funding levels for awarding grant support, with raised allocations earmarked for the sustenance of small, medium-range and large-scale projects. New fiscal parameters have also been set for mission participation, based on country-wise groupings, while purchase procedures, manpower hiring on approved projects, and petty cash settlement have been further explained and clarified. In addition, provision has been made to extend the benefit of consultative and statistical services (Article

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16) for accommodating faculties project-related needs, subject to simple conditions, and the privilege of small project-related acquisitions granted through specific amount allocated as research facilities reward (Article 17), the value of which is tied to the duration of the project.

In addition, RS developmental outlook has further crystallized in setting new areas of priority research, based on faculties input, offering researchers wider choices and options. These newly established priorities, with 15 identified areas, would remain valid until 2014, with special benefits extended to researchers for priority research. At this juncture, RS focus is also on the sustenance of elevated quality standards in KU research, for which continuity of incentive rewards would remain the stimulant for researchers to achieve distinguished outputs, both from funded or unfunded research that gets published in top ranking journals of international repute and impact. RS policy thrust would remain on this ambitious goal, setting the benchmark for high quality research at KU, with the manual outlining explicit requirements and entitlements for attaining distinguished outputs of world standard.

All inclusive, the manual condenses the entire grant support universe within the frame of 77 articles, providing first-hand knowledge on the mechanism and modalities of grant awards system at KU. Intended as an invaluable users-manual for researchers, the document aims at facilitating faculties in wading through the critical phases of project submission, approval, implementation, reporting and publications stages, placing essential information at their disposal, for implementing and accomplishing their research goals. In releasing the manual's 3rd edition, it is RS ardent hope that the faculties would draw maximum benefit from the available resources in achieving outstanding and internationally credible results, the goals that KU is aspiring to achieve.

In preparing the manual's updated edition, I appreciate and commend the joint efforts of the Assts. Vice President, Prof. Haitham Lababidi, Prof. Nejb Smaoui, and Prof. Obaid Al-Otaibi, for reviewing and refining the grant support rules and regulations. I also acknowledge the input and efforts of Dr. Promila Sharma for giving the manual its final shape, as well as Ms. Bedoor Al-Qurayan for translation support, and Mrs. Shaheen Nawaz for artwork and design.

*Prof. Hasan Abdul Aziz Al-Sanad
Vice President for Research*

June 2013

Preface

Research Support Rules & Regulations, 2010, the second edition of the manual, presents a concise and updated documentation of the currently applicable bylaws and regulations governing the grant support system at Kuwait University, with the inclusion of new clauses, reformations, additions, and explanations, as deemed necessary. The need for legitimate revision had become necessary in view of RA's consistent efforts in providing latest, more comprehensive and exhaustive information on the entire regulatory framework of the research support system, as a commitment to the faculty research community, to be well informed, more knowledgeable, and aware of the procedural implications that regulate all aspects of the research support process. For RA, this reformatory endeavor is particularly significant in an organized drive to encourage faculties to pursue innovative and high quality research, for nurturing a genuine instinct and aptitude to probe issues that are strategic to state and the society and hold significance in the contemporary context. The larger purpose being to create a receptive and congenial climate for spreading the research culture across faculties, where norms of scientific integrity and quality consciousness prevail in faculties research endeavors.

Consequently, RA has been deeply involved in search for appropriate mechanism and measures aimed at faculties increased diversion to scientific innovation, and in developing the aptitude of creative culture, in keeping with institutional aspirations for high quality research, measuring up to internationally compatible standards through their research outputs, that get published in top ranking refereed journals of significant impact. This ultimate goal has been the driving force for RA to institute a stimulus package of research rewards to be awarded to researchers in recognition of distinguished research that is internationally acclaimed and finds placement in top 25% of the highly rated journals as per the Journal Citation Report (JCR) with impact. The essential elements of these rewards have been explicitly stated in newly

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added Articles 52, 53, 54, 55 and 56, in Chapter 13 of this manual, describing the eligibility and entitlements of the rewards to be awarded to researches for their funded and unfunded research, as well as for achieving excellent rating in their project final report. Clarifications and additions have also been made regarding RA's Implementation Committee's role during the summer months (June 1 through Oct.1) of each academic year, the refereeing process, research reports & productivity, purchase, manpower, scientific missions, transfer of budgetary allocations, etc, as valid inclusions throughout the manual, to facilitate researchers in acquiring clear understandings of the clauses currently applicable at each step and stage of the research awards process.

The enhanced, updated and revised manual is intended to serve as the researchers' most dependable reference in the preparation and submission of proposals within the framework of latest rules and regulations governing the grant support system, guiding them through project implementation, completion and productivity phases with clarity and precision. In presenting the 2nd edition of the manual of Research Support Rules and Regulations, it is my genuine hope that the faculties will derive maximum benefit from RA's research support system, and adopt the virtues of innovation, relevancy and quality in their research endeavors, so as to be active and effective partners in elevating the institutional scientific standing worldwide..

This document is the result of a collective effort, for which I would like to thank Prof. Haitham Lababidi, Prof. Nejib Samaoui, Prof. Ibrahim AbuLail, Dr. Promila Sharma and Mrs. Mariam Shemali. I would also like to acknowledge the efforts of Ms. Bedoor Al-Qurayan, for rendering translation support, and Mrs. Shaheen Nawaz for the manual's design and artwork.

*Prof. Fahed Al-Thakeb
Vice President for Research*

August 2010

Preface

Research Administration is responsible for advancing original research at Kuwait University, and encouraging faculty members to pursue their studies in areas of strategic significance to the state, society and humanity. Its remit is to encourage both faculty and students to pursue innovative research that could yield potentially beneficial outputs and state-of-the-art technology, enrich knowledge in diverse fields, and yield practical solutions to problems facing society.

To support this endeavor, RA has prepared this document that outlines current procedures governing faculty research at Kuwait University. The document aggregates the latest administrative and financial regulations applicable to research proposals submitted by faculty members. Its purpose is to provide explicit guidelines for the preparation of such proposals, and to set out a clear understanding of researchers' rights and obligations. The document provides a comprehensive overview of the research support system, listing current rules and regulations for grant award within the framework of 51 articles, spread over 12 chapters. These include all stages, from the preparation, submission and refereeing of the research proposal, to implementation issues such as equipment purchase, appointment and payment of manpower, petty cash, scientific missions, visiting experts, and reports, publications, and productivity.

In presenting this document, it is my ardent hope that faculty will derive the maximum benefit from RA's research support. We believe that these regulations will enable researchers to prepare and implement their research projects with efficiency and ease. We anticipate that new developments to meet emerging challenges will impose the need for revised procedures to be incorporated within the body of existing regulations. For this reason, we invite your suggestions to expedite the preparation and processing of research proposals, address

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bottlenecks that obstruct the smooth implementation of research, and accelerate the momentum at Kuwait University for achieving scientific distinction. This document has been the result of a collective effort, for which I would like to thank Prof. Ibrahim AbuLail, Prof. Talaat Atiya, Prof. Haitham Lababidi, Dr. Fahd Al-Mulla, Prof. Nejib Smaoui, and Ms. Mariam Shemali. I would also like to acknowledge the efforts of Dr. Promila Sharma and Ms. Bedoor Al-Qurayan, in preparing the English version, and of Prof. Christopher Baker for editing the final document.

*Prof. Fahed Al-Thakeb
Vice President for Research*

2008

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Chapter One
*Definitions,
Goals,
Functions*

Chapter One: *Definitions, Goals, Functions*

Chapter One

Definitions, Goals, Functions

Article (1) -- Definitions

The following statements define the terminologies used in this document:

1. **Scientific Research:** A distinguished accomplishment that addresses and develops a scientific idea, through the application of scientific principles and procedures, and accomplished as an individual or collective effort.
2. **Research Project:** A scientific research proposal submitted by a researcher, and approved and supported by Research Sector (RS), in accordance to the rules and regulations outlined in this document.
3. **Principal Investigator (PI):** A Kuwait University faculty member, who has a principal role in the research project, heads and supervises the research team, and assumes overall responsibility for the management of the project.
4. **Co-Investigator (CoI):** A Kuwait University faculty member or Ph.D. holder (or equivalent) working at Kuwait University, who participates in a research team to achieve the goals of a research project.
5. **External CoI:** A Ph.D. holder (or equivalent), who works in a local recognized academic or research institute other than Kuwait University.

6. **Non-Resident CoI:** A Ph.D. holder, who works in a recognized academic or research institute, outside Kuwait.
7. **Contributor:** A person of specialized skills, beyond the research team members, whom the PI either consults or seeks help from, as deemed necessary. The name of the contributor can be added to publications and other scientific productivity of the project.
8. **Referee:** A Ph.D. holder (preferably Professor), with known experience in the specific area of research, who is assigned to study and evaluate the research project or its scientific productivity, and gives his/her opinion and comments on any one of these.
9. **Manpower:** A group of people (not members of the research team) who assist the PI in implementing the research project. Manpower comprises of the following categories:
 - Appointed Manpower (permanent),
 - Secondment
 - Temporary Manpower

The appointed manpower category includes the following positions:

- Research Associate
 - Senior Research Assistant
 - Research Assistant
 - Senior Technician
 - Technician
 - Assistant Technician
 - Administrative Employee/Secretary
 - Other Manpower
10. **University Research Projects:** These are research projects that are granted to all faculty members at Kuwait University, to address research subjects in their fields of specializations and interests.

Granting and implementation of University Research Projects are governed by the articles outlined in **Chapters 1 to 12** of this document.

11. **Special Research Projects:** These projects are of special nature, details of which are specified in **Chapter 13** of this document. They cover the following projects:
- Priority Research Projects
 - Graduate Students Research Projects
 - Research Initiation Grants (RIGs)
 - General Facility Projects
 - National Research Projects
 - University Service Projects
 - External Research Projects
 - GCC Joint Research Projects
 - Specialized Research Units & Laboratories (SRUL) Projects

Article (2) -- Goals

Scientific research supported by Kuwait University Research Sector aims at:

1. Enriching science and knowledge in all disciplines and fields of importance.
2. Providing consultations, and suggesting scientific and practical solutions to problems facing the society.
3. Transferring *state-of-the-art* technology, and customizing it to the national needs and requirements, through relevant developmental and technological interventions in response to local demands.
4. Linking scientific research to the goals of Kuwait University, and the strategic plans for the development of society.

5. Preparing a generation of distinguished researchers, and encouraging them to pursue original and innovative research, and encourage the participation of graduate students in pursuing scientific research.

Article (3) -- Functions

Kuwait University Research Sector endeavors to encourage faculty members and students to pursue original and innovative research, and facilitate execution of research project of potential benefit to the society. In order to achieve this objective, the following measures are taken by RS:

1. Cooperating with scientific and research institutions and authorities, within and outside Kuwait University, to initiate joint research studies, and exchange knowledge and expertise.
2. Exploring diverse channels and ways for encouraging individuals and institutions to grant support to research projects, and enhance the role and contribution of Kuwait University in scientific research.
3. Promoting scientific research through encouragement of students and faculty members in nurturing the culture of scientific research at Kuwait University.
4. Defining short-and-long-term research goals, identifying research priorities, specifying budgetary requirements, and working towards the realization of outlined goals.
5. Facilitating the registration of discoveries and inventions made by researchers, and providing Patent protection.
6. Monitoring and follow-up of faculty research undertaken through funded projects at Kuwait University.

7. Studying and evaluating research proposals that are submitted for grant support, and following-up their implementation.
8. Supervising and monitoring the implementation of those research projects that are funded by external institutions, according to their specific requirements.
9. Developing and maintaining a research database for all projects, and sharing requisite information with other universities and research institutes.
10. Preparing annual report documenting progress in scientific research activities at Kuwait University.
11. Preparing the RS budget and annual financial report.
12. Performing the functions of Faculty Scientific Research Committees through RS Implementation Office Committee for projects with budget up to KD 4,000/-.

Chapter One: Definitions, Goals, Functions

Chapter Two

Refereeing of Research Projects

Chapter Two: *Refereeing of Research Projects*

Chapter Two

Refereeing of Research Projects

Article (4) – Refereeing Categories of Research Projects

Research projects are refereed according to their budget, as follows:

1. Research Projects, with budget up to KD 4,000/- are refereed by *one internal referee*. The referee is selected by the Vice Dean for Research (VDR), or the Research Sector, if requested by the VDR. The PI has the choice of opting for either internal or external referee for the refereeing of the project submitted for funding in this category of projects.
2. Research projects with budget ranging from KD 4,001/- to KD 10,000/- are refereed by *two external referees*. Both referees are selected by the Research Sector.
3. Research projects with budget above KD 10,000/- are refereed by *three external referees*. The referees are selected by the Research Sector.

Article (5) -- Refereeing Rules and Procedures

Refereeing of scientific research projects is governed by the following rules and procedures:

1. Referees are identified on the basis of their specialization, which matches the subject area of the research project. They are first contacted to seek their willingness to evaluate the research proposal. At this stage, only an abstract is sent to them. After receiving their approval, copies of the research proposal, together with necessary documents, are made available electronically to each of the referees.
2. On receiving the completed evaluation forms electronically from the

referees, they are ratified by the Assistant Vice President for Research, and forwarded to the PI through the VDR, so that he/she can duly respond to the points raised by the referees, and make the requested modifications (if any) in the research proposal.

3. For Projects under the *first* category (with grants up to KD. 4000/-):
 - Both the referees' report and PI's response are presented to RS Implementation Committee, to insure that the PI has responded to the comments of the referee, and made all requested modifications.
 - The Implementation Committee takes appropriate decision concerning the approval of funding, or request re-evaluation of the modified proposal by the same referee or a new one, after requesting the PI to reform the research project proposal, taking care of the referees comments.
4. For Projects under the *second* or *third* categories (more than KD 4000/-):
 - Both the referees' reports and PI's response are forwarded to the Faculty Research Committee (FRC), through the VDR, to ensure that the PI has responded to the comments of the referees, and made all requested modifications.
 - The FRC makes the appropriate funding recommendation, which is then forwarded by the VDR to RS. This recommendation should be based on the importance of the research project, the reports of the referees, and the response of the PI. The FRC recommendations may be one of the following options:
 - a. Funding the research project, with the requested budget or an amended budget.

- b. Asking RS to send the response of the PI to the referee(s) for re-evaluation.
 - c. Asking the researcher to modify the research proposal, taking into consideration the points raised by the referee(s). The modified proposal, together with the PI's response to the referees' comments, will be sent back to the same concerned referee(s), for re-evaluation and re-rating.
 - d. Requesting re-evaluation of the research proposal by an additional referee. In this case, the FRC must provide an acceptable justification for this request. RS sends the research proposal for re-evaluation following approval of the Funding Committee (for project budgets above KD 10,000/-), or the Implementation Committee (for project budgets below KD 10,000/-).
5. The FRC is not authorized to reject funding of a research project, or its cancellation after the project has been refereed with acceptable average scoring. The PI is required to submit a detailed response to the referees' comments, for the committee's approval.
6. The FRC should not recommend funding a research proposal if one of the referees' evaluation ratings is below 70%. In this case, the PI is given the option of re-submitting a modified version of the proposal, in which the comments and points raised by the referee have been considered and addressed.
7. On receiving the recommendations of the FRC, RS forwards the research proposal to the Funding Committee (the third category, with budget above KD 10,000/-), or the Implementation Committee (the second category, with budget less or equal to KD 10,000/-) for the final grant approval.
8. It is not permissible to apply for a research grant for research work that has already been undertaken, or for which good progress has been made in generating the results and outputs.

9. The internal or external referee is rewarded KD 100/- for the refereeing of a research project, and project final report.
10. The internal referee is rewarded KD 50/- for refereeing the annual or progress report of the project.
11. Deans and Vice Deans must not act as referees for projects submitted by investigators from the same faculty.

Chapter Three

Research Team

Chapter Three: Research Team

Chapter Three

Research Team

Article (6) -- Conditions Applicable to Research Team

I The Principal Investigator (PI) :

1. Should be a Faculty member at Kuwait University.
2. Is neither a Visiting Professor, nor seconded to Kuwait University.
3. Is a member of the research team of no more than four research projects, out of which he/she is PI of no more than two projects. This condition is not applicable to Priority Research Projects, Graduate Students Research Projects, National Research Projects, General Facilities Projects, and External Projects.
4. Should preferably have a contract of at least two years with Kuwait University.

II The Co-Investigator (CoI):

1. Should be a faculty member at Kuwait University, or a Ph.D. holder or its equivalent.
2. Is a member of the research team of no more than four research projects, out of which he/she is a PI in no more than two projects. This condition is not applicable to Priority Research Projects, Graduate Students Research Projects, National Research Projects, General Facilities Projects and External Projects.
3. Should have a key role in achieving the objectives of the research work. His/her role should be clearly defined by the PI,

and stated in the research support application.

4. The number of Co-Is in a research team should not exceed four. Exception is granted for very special cases, with the approval of RS.

III The External Co-Investigator (External Co-I):

1. Should be a Ph.D. holder or its equivalent, working in a recognized local educational or research institution, other than Kuwait University.
2. Should have a key role in achieving the objectives of the research work. His/her role should be clearly defined by the PI, and stated in the research support application.
3. Is a member of the research team of no more than two ongoing research projects at Kuwait University.
4. It is not allowed to include more than one External Co-I in the research team of a funded project.

IV Non Resident Co-Investigator (Non Resident Co-I):

1. Should be a Ph.D. holder, working in a recognized educational or research institution outside Kuwait.
2. Should participate in only one ongoing project.
3. It is not permitted to include more than one Non-Resident Co-I in the research team of a single funded project.
4. He/she should have a key role in achieving the objectives of the research work. His/her role should be clearly defined by the PI, and stated in the research support application.

5. The above four conditions become applicable when the status of the researcher changes from Co-I (or PI) to Non-resident Co-I.
6. It is permitted to involve the Non-Resident Co-I as a Visiting Expert.

V Contributor:

1. His/her participation in a research project should be to achieve specific tasks, such as conducting experiments or analyzing results, and for a short period of time.
2. The PI should send a formal request to RS to include a contributor in the project, explaining his/her role in accomplishing the research work. The PI must obtain RS approval for the inclusion of a contributor either before starting the project, or during its implementation, but not less than 6 months before the end date of the project. After approval by the RS, the name of the contributor may be added as a co-author to the publications resulting from the project.
3. The number of contributors in a research project should not exceed four.
4. The contributor should not be included as manpower.

Chapter Three: Research Team

Chapter Four

Research Project Budgets

Chapter Four: *Research Project Budgets*

Chapter Four

Research Project Budgets

Article (7) – Budget Categories

Expenditure on research projects granted by RS must conform with the established rules and regulations, and be within the approved implementation plan and budgetary limits. The budget is allocated to the following categories:

1. Equipment
2. Running costs, which includes the following two elements:
 - Consumables
 - Temporary Manpower
3. Permanent (appointed) Manpower
4. Scientific Missions and Visiting Experts

The PI should adhere to requisite rules and financial regulations governing each category of the budget, as stated in this document.

Article (8) – General Rules

1. Expenditures that violate the financial rules and regulations of RS and Kuwait University are not allowed.
2. RS is authorized to reject any settlement that violates the articles stated in this document, and the PI is held solely responsible.
3. All financial transactions, other than manpower salaries are barred when the status of the research project is “on-hold”.
4. No financial transactions are allowed, except payment of manpower salaries, 60 days following the due date of a progress report. This restriction continues as long as the PI does not submit the report.

5. No financial transactions are allowed 60 days following the end date of a research project and until the PI submits the final report. If the final report is not submitted within six months after the end date, the status of the project is changed by RS to “terminated”. This may have a negative impact on the future grant applications submitted by the PI.
6. The financial rules and regulations of Kuwait University apply in all matters not specifically mentioned in the articles stated in this document.
7. It is not allowed to include any of the research team members (PI, Co-I, External Co-I, Non-Resident Co-I or Contributor) in any type of manpower (permanent, secondment, or temporary).
8. Transfer or spending amounts of the budget abroad is prohibited for research projects, and specifically for those having a Non-Resident Co-I in their Research Teams.
9. The researcher must adhere to the regulations concerning the purchase and use of consumables in research projects according to the following:
 - a. The amount allocated for consumables is to be used only for the purchase of materials and chemicals required for the same project, and its use for other project(s) is not permissible, unless prior approval of RS has been obtained.
 - b. Avoiding purchase of chemicals in large amounts, beyond the needs and requirements of the research project, and avoid wastage.

Chapter Five

Equipment and Laboratory Supplies

Chapter Five: *Equipment & Laboratory Supplies*

Chapter Five

Equipment and Laboratory Supplies

Article (9) – General Rules for Purchasing of Laboratory Equipment

1. Budget under the equipment category can be utilized to purchase laboratory equipment, spare parts, etc., used in the research project.
2. Purchasing of equipment and laboratory supplies is subjected to the rules and regulations of the Purchasing Department at Kuwait University.
3. Equipment bought by RS through research projects remains the property of RS. The researcher is duly requested to inform RS, in writing about the fate of the equipment after completion of the research project.

Article (10) – Purchasing Procedures

The following procedure should be followed in purchasing equipment and laboratory supplies:

1. Purchase orders should be submitted by the PI to RS's "Purchasing and Stores Department", to initiate the relevant procedures for inviting bids through the KU's "Purchasing Department". For this purpose, the researcher is requested to perform the following:
 - a. The purchase order should be signed by the PI, along with an electronic (CD) and a typed copy of the purchase order, which should include valid codes for the ordered items, according to the coding system of the Store Department. Location readiness form for the required equipment, signed by the Director of Construction and Maintenance Administration, should also be included.
 - b. Requested items should be consistent with those specified in the research proposal and their cost should be within the budget allocated for the equipment category.

- c. The researcher should ensure that detailed specifications and descriptions of the requested items are given. This will avoid unnecessary delays in processing the purchase orders.
 - d. Prior to placing the purchase order, the researcher should ensure that the requested item (or its equivalent) is not available in General Facility, department or faculty laboratories. This applies especially for costly scientific equipment.
 - e. The researcher should consult RS, prior to or during the implementation phase of the project to ensure that he/she follows the correct procedures to acquire the requested items in the shortest possible time.
 - f. The PI should inform RS about any modification to the specifications of the requested items within one week from the date of placing the purchase order.
2. Purchase orders should be placed well before the end of the fiscal year according to the dates specified by the University Administration.
 3. The purchase orders are implemented according to the following categories:
 - a. Direct Orders: Purchase orders with estimated cost not exceeding KD. 2,000/-.
 - b. Direct Order Contract: Purchase orders with cost not exceeding KD. 2,000/- through the sole importer.
 - c. Implements (Internal): Purchase orders of estimated cost from KD. 2,001/- to KD 5,000/-, which does not require the approval of the Central Bids Committee.
 - d. Implements: Purchase orders of estimated cost from KD 5,001/- to KD. 30,000/-, which require the approval of the Central Bids Committee.
 - e. Tenders: Purchase orders of estimated cost above KD

30,000/-, which require the approval of the Central Bids Committee and the Audit Bureau.

4. Accuracy is required in estimating the cost of items to avoid re-submission, in case the real cost of purchasing orders exceeds the maximum limit of the concerned category.
5. The purchase order is forwarded to the KU's Purchasing Department after receiving the approval of the Assistant Vice President for Research for further processing and inviting bids from different suppliers.
6. After receiving the bids and verifying the records, KU's Purchasing Department forwards them through RS to the PI, who studies and selects the best bid that meets the requested specifications and has the lowest cost. If the selected bid is not the cheapest, it is necessary that the PI provides convincing justification for the selection in Arabic.
7. The PI then sends the quotations package back to RS after signing and stamping it, along with the copy of the minutes of awarding committee signed by the PI and two members.

Article (11) – Receipt and Record Keeping of Purchased Item

1. After completion of the purchasing procedures by KU's Purchasing Department and signing the purchasing contract, items are handed over to the PI. Upon receiving the items, the PI should:
 - a. Sign the purchase invoice and specify the date of receipt. Thereafter, the supplying company should endorse the purchase invoice by the RS followed by the KU Stores Affairs Department, so that the payment is processed, before 45 days from the contract's ending date.
 - b. Arrange an appointment for the RS and KU Stores Affairs Department to inspect and verify the supplied items.
 - c. Sign requisite documents for registering the supplied items and record them under the custody of the PI.

- d. The researcher should not use the chemical, biological and other consumable materials, imported for him by the companies, prior to checking those materials and their registration in RS checking record, and the Stores Affairs Department.
2. Purchased items should be supplied in the same fiscal year. This is to ensure that the budget allocated and blocked for this year is released. Purchased items may be exceptionally supplied during the next fiscal year, for cases where unexpected delays cannot be avoided.
3. The Purchasing department cancels all contracts of previous fiscal year(s) for the unspent amount, without reverting back to the PI, if he/she does not provide any justifications.

Article (12) – Utilization of Purchased Items

1. It is the responsibility of the researcher to keep the purchased equipment and laboratory supplies in good working conditions through routine maintenance. He/she should, therefore, include the service and maintenance charges in the budget section of the research grant application.
2. After completing the research work, the equipment should be utilized by another research project. Equipment is accordingly transferred from one researcher's record to another, after informing RS and obtaining its approval.
3. In case direct utilization of the equipment in an ongoing research project is not possible, RS should be informed so that the equipment can be transferred to the PI's department, or to one of the General Facility projects in that faculty. This is to ensure that the equipment remains operational and in good working condition.
4. RS should be informed of obsolete and non-operational equipment to take necessary action concerning their transfer to KU's Stores Department for further action and clearance of the records.

Chapter Six

Running Cost (Petty Cash)

Chapter Six: *Running Cost (Petty Cash)*

Chapter Six

Running Cost

(Petty Cash)

Article (13) – Petty Cash

Expenditure on consumables from the project's budget, for the purchase of materials and other requirements, is done from amounts allocated as Petty Cash. The amount of each Petty Cash allocated shall not exceed the maximum limit of KD 1,000/-. Procedures for obtaining the Petty Cash, and its expenditure and settlement, are governed by following rules:

1. The PI applies for the Petty Cash by using the standard "Petty Cash Application Form", stating his full name, University ID number, the Bank name, and Account number, and submits it to RS along with a copy of his/her Civil ID.
2. After the approval of Petty Cash application by RS, the requested amount is transferred to the PI's account, or a cheque is issued depending upon the PI's preference.
3. No new Petty Cash amount can be released, until the PI settles the previous one.
4. Transfer of a Petty Cash allocation from one fiscal year to the next is not permissible.
5. Petty Cash requests are not processed from January 1st to the end of the fiscal year (31 March).
6. At the end of each fiscal year, Petty Cash settlement should

be made before the date specified by KU Administration (usually end of January). Failure to settle the Petty Cash allocation before the specified deadline will lead to a deduction of the amount from the salary of the PI.

7. It is not allowed to have more than six Petty Cash allocations for a research project during the course of one fiscal year. For projects that need more expenditures on consumables, the following should be taken into consideration:
 - a. Ensuring that the Petty Cash is utilized to purchase essential materials, especially those having short shelf life.
 - b. Purchasing other consumables, such as chemicals and glassware, through direct purchase orders. The amount of each order should not exceed KD 2,000/-.
8. It is permitted to make a final settlement of expenditure on consumables at the end of the project implementation period. This is subjected to the availability of budget under the running cost category. The amount of the final settlement should not exceed KD 1,000/-.
9. The PI can have more than one petty cash, from more than one project, with the condition that the total petty cash does not exceed KD. 2000/-

Article (14)– Rules and Conditions for Petty Cash Expenditure

1. Purchase of research requirements should be according to what is originally specified in the research contract that the PI signs with RS. Expenditures are allowed on the following:
 - a. Spare parts, accessories, minor repairs and maintenance of small equipment, fuel and other expenditure.
 - b. Chemicals, operational materials, experimental kits and

- standards, glassware and other consumables.
- c. Test animals from a local market, provided that the amount spent does not exceed KD 150/- per invoice.
 - d. Software, with cost not exceeding KD 500/-, computer parts and accessories, such as memory, storage devices, printer inks and others.
 - e. Non-consumables, which are registered by RS under the name of the PI according to the regulations of the Stores Administration.
 - f. Books and conference proceedings up to a maximum limit of KD 200/-, provided the acquired titles are not available in KU Libraries. To settle the invoices for books, it is necessary to duly register the books with Libraries Administration, which will assign requisite serial numbers. Proof of this procedure should be attached with the settlement request.
 - g. Statistical analysis offered by Kuwait University's consultation offices, and their cost should not exceed KD 500/-. In case the cost exceeded this amount, it is mandatory to contract the sector providing the service according to Article (16).
2. RS reimburses the publication costs of scientific papers, produced by research project, which are published in refereed scientific journals, and accepted by RS as productivity (Article 54) subject to the following conditions:
- a. Written requests for reimbursement of the publication cost can be submitted any time during the implementation period of the project, or within two years from the completion date of the project.
 - b. The publication cost is paid after submitting either an

acceptance letter from the journal, or a reprint of the published paper, together with the invoices and documents as proof of the payment of publication costs, with the claim.

- c. The additional costs of “Open Access” publications are compensated only under the following conditions:
 - The journal has an impact factor according to the Journal Citation Report (ISI Web of Knowledge), and
 - The paper will not be published unless the charges are paid.
- d. It is not necessary to include the publication cost in the budget of the research project.
- e. The researcher should adhere to the rules and conditions governing publication of scientific productivity, as stated in the signed research contract.
- f. If the publication costs are paid by another person, the PI should agree to compensate and approve invoices and documents presented.

Article (15) – Petty Cash Settlement

1. The PI should settle the petty cash amount, either partially or fully, in order to clear his/her outstanding balance. In case of partial settlement, unspent amounts should be refunded to appropriate KU accounts by the end of fiscal year, and in case the amount is not refunded, it will be deducted from the salary of the PI.
2. RS does not accept any petty cash settlement that is not in accordance with the financial regulations of RS and KU.

3. The following procedure should be followed in making the petty cash settlement:
 - a. The PI submits a petty cash settlement request using a standard form, which contains a list of the purchased items, and attaching their original invoices (receipts), issued under the name of KU.
 - b. All invoices should be endorsed (signed), stamped and dated by the PI.
 - c. A receipt should be attached to a non-cash invoice (credit).
 - d. The settlement amount of a single invoice should not exceed KD 500/-, except when prior permission is granted by the RS.
 - e. All invoices submitted for settlement must be approved by KU Stores Administration, which will verify whether the purchased items are consumables or non-consumables.
 - f. Non-consumables are duly recorded under the PI's name. A document showing such a record should be submitted together with the Petty Cash settlement.
 - g. Invoices should be related to purchases made after the start date of the research project, and during the same fiscal year as the Petty Cash allocation, taking care of the time sequence of the date of petty cash expenditure, and the documents attached for settlement.
 - h. When a credit card payment is made, an account (bank) statement should be submitted, together with the settlement application, verifying such payments and their dates.

Article (16) – Consultation Services and Statistical Analysis

1. It is allowed for the researcher to get the consultation services and statistical analysis offered by the consultation and training offices at Kuwait University. The following should be taken into consideration if the amount exceeds KD 500/-:
 - a. Mention the justification for seeking their help in the research project, and attaching the proposal from the consultation office clarifying technical and financial aspects of the needed service.
 - b. The consultation services and statistical analysis are offered according to a contract between the PI and the implementing sector.
 - c. The researcher should provide RS with a copy of the contract, to allow reserving the contracted amount from the allocated budget for consumables category.
 - d. RS takes necessary action to transfer financial expenses, according to the contract conditions, to the account of the contracted consultation office upon receiving a request from the researcher, with following documents attached:
 - A letter from the PI clarifying that requested services have been delivered according to the contract, and based on which the needed financial expenses are to be paid.
 - An official payment request (or invoice) from the consultation office specifying the account number and the bank details.
 - A copy of the contract between the researcher and the consultation office.
2. Seeking consultation services and statistical analysis from outside KU is subject to inviting bids through the Purchasing Administration.

Article (17) – Research Facilities Reward⁽¹⁾:

1. The researcher is granted an incentive reward allocated from the research project budget based on the research duration as follows:
 - a) KD 250/- : for the First year
 - b) KD 150/- : for the Second year, and
 - c) KD 100/- : for the Third year
2. The reward is meant for meeting small expenses of the project's needs, such as stationery, small equipment and consumables, not exceeding KD 25/-, in addition to acquiring references and scientific books.
3. Its not required to present receipts justifying the amounts granted.
4. Small expenses listed in item 2 above are not allowed through the petty cash.

⁽¹⁾ Kuwait University Council's approval in its Meeting No. (3/2011). dated 6/7/2011.

Chapter Six: *Running Cost (Petty Cash)*

Chapter Seven

Running Cost (Temporary Manpower)

Chapter Seven: *Running Cost (Temporary Manpower)*

Chapter Seven

Running Cost

(Temporary Manpower)

Article (18) – Conditions for Hiring Temporary Manpower

1. It is permissible to hire temporary manpower on a research project for doing work of a provisional nature, such as typing, photocopying, drawing, distributing questionnaires, collecting and entering data, computer programming, testing samples, preparation of experiments, calibrating laboratory equipment in labs, and other minor tasks related to the research work.
2. Temporary manpower (non-Kuwaiti) should have a valid residency in Kuwait, and it should not be of dependency nature.
3. It is allowed to hire a KU employee as temporary manpower, provided that the work is carried out outside working hours.
4. Qualification of the temporary manpower should be relevant to the assigned work.
5. It is not allowed to hire permanent and seconded manpower on research projects (see Chapter 8) as temporary manpower.
6. It is not allowed to hire relatives of the PI or any member of the research team, or relatives of KU faculty members, as temporary manpower.

Article (19) – Financial Regulations for Temporary Manpower⁽²⁾

1. The budget allocated for temporary manpower should not exceed the maximum limit of KD 6,000/- for the entire duration of the research project. Moreover, this amount should not exceed 50% of the overall budget of the project.
2. RS is authorized to grant exceptions to the maximum limit allocated for temporary manpower to specific projects of a special nature. Such exceptions should be based on the following considerations:
 - a. The nature of the research activity and its goals. This is applicable, for instance, to survey, exploratory or clinical research activities, which demand collection of information and data from large samples.
 - b. Exception will be as a result of a decision taken by the RS's Implementation Committee.
 - c. In any event, the budget allocated for temporary manpower for an exempted research project should not exceed 60% of the overall budget.
 - d. Exempted projects should not exceed 10% of the total number of ongoing research projects.
3. It is allowed to transfer amounts from and to the temporary manpower budget category, provided that the allocated amount does not exceed what has been specified in item (1) above.
4. Monthly payment to a beneficiary temporary manpower should not exceed the maximum limit of KD 250/-, payable at the rate of KD 2.500 per hour, with a maximum of 100 hours per month.

(2). *Kuwait University President's Decision No. 1449, dated 26 June, 2004.*

5. The Temporary manpower expenditure depends on the qualification of the beneficiary, and accordingly the payment per hour is as follows, with fraction of hours not counted.

No.	Scientific Qualification	Per hour	Max. Number of hours	Monthly Payment
1.	No qualification needed	KD 1.000	100	KD 100
2.	High school	KD 1.500	100	KD 150
3.	Diploma	KD 2.000	100	KD 200
4.	Bachelor & higher qualification	KD 2.500	100	KD 250

6. The total temporary manpower payment to any beneficiary should not exceed KD 1,500/- for the entire duration of the research project. This is not applicable to projects exempted under paragraph (2) above.
7. It is not allowed to hire the same person as temporary manpower in more than two research projects⁽³⁾, during any fiscal year, and it is not allowed to pay temporary manpower reward to one person on two research projects during one month.
8. Payment is made directly to the beneficiary after he/she submits to RS a completed Temporary Manpower Form, duly endorsed by the PI, to which is attached a copy of the beneficiary's Civil ID, and his educational certificates.
9. If the temporary manpower is a KU employee, he/she should present a declaration stating that the work was accomplished outside official working hours. This declaration should be attached to the Temporary Manpower Form.
10. The researcher is not allowed to make payment to the temporary manpower from petty cash.

(3). Kuwait University President's Decision No. 154, dated 4 July, 2007.

Chapter Seven: *Running Cost (Temporary Manpower)*

Chapter Eight

Manpower

Chapter Eight: *Manpower*

Chapter Eight

Manpower⁽⁴⁾

Article (20) – Manpower Categories

1. Manpower employed on research projects is classified into three major categories:
 - a. Permanent Manpower
 - b. Part-time Secondment
 - c. Temporary Manpower
2. The appointment of manpower categories (a) and (b) depends on the nature and duration of the research work, and is subject to rules outlined in the current Chapter.
3. The appointment of manpower category (c) must be in accordance with the rules and regulations specified in Articles 18 & 19 (*Chapter 7*).

Article (21) – General Appointment Rules

1. Work systems and social security rules should be adhered to.
2. Appointment of various categories of manpower on research projects is subject to specific rules applicable to each category.
3. In cases where the appointment rules are violated, no payment is allowed to be made to the appointee(s), and the PI is held responsible for such violation.
4. Permanent manpower appointed on research projects is entitled to a paid annual leave of 35 working days, as per the employment rules of KU.

(4). *Kuwait University President's Decision No. 683, dated 6 June, 1995.*

I. Permanent Manpower

Article (22) – Permanent Manpower Jobs

1. Appointment of permanent manpower on research projects includes following Job categories:
 - a. Research Associate
 - b. Senior Research Assistant
 - c. Research Assistant
 - d. Senior Technician
 - e. Technician
 - f. Assistant Technician
 - g. Administrative Employee/Secretary
 - h. Other Manpower

2. Only one permanent manpower category is allowed in a University Research Project.

Article (23) – Qualifications of Permanent Manpower

Employment of Permanent Manpower on research projects is subject to requisite educational qualifications, as follows⁽⁵⁾:

- | | | |
|----|---------------------------|---|
| 1. | Research Associate | Ph.D Degree and Bachelor's Degree (very good grade) |
| 2. | Senior Research Assistant | Master's Degree and Bachelor's Degree (B.Sc. very good grade) |

(5). Decision of Kuwait University Council No. 2008/3, dated 13/7/2008, and University President Decision No. 1727, dated 20/7/2008.

3.	Research Assistant	Bachelor's Degree (very good grade) or higher degree
4.	Senior Technician	Bachelor's Degree and five years experience
5.	Technician	Bachelor's Degree or Higher Diploma
6.	Assistant Technician	Scientific Diploma and three years experience
7.	Admin. Employee/Secretary	Diploma and three years experience
8.	Other Manpower	No specific qualification needed

Article (24) – Conditions for Appointing Permanent Manpower

Appointment of permanent manpower on research projects is subject to the following conditions:

- a. Should not be working elsewhere.
- b. Should have the educational qualification required for the job. The certificates should be made equivalent and authenticated, when necessary.
- c. If he/she is not a Kuwaiti citizen, he/she should hold residency, which is transferable to KU. A visa will be issued if abroad.

Article (25) – Hiring Kuwaitis for “Researcher” and “Senior Researcher” positions⁽⁶⁾

It is permissible to hire Kuwaitis for the positions of “Researcher” and “Senior Researcher” on research projects, subject to the following conditions:

1. Should hold Kuwaiti Nationality, and not employed elsewhere.
2. Should fulfil all requirements needed for the job.
3. Should have Bachelor’s degree with “ very Good,” or a higher certificate, for the “Researcher”, position, and Bachelor’s degree with “ very Good” and Master’s degree for the “Senior Researcher”, position.
4. Should submit a duly completed “Employment Application,” with necessary approvals and clearances, as required.
5. Entitled to receive the specified amount of KD. 550/- for “Senior Researcher”, and KD. 500/- for “Researcher”.
6. The Research Sector forwards the employment application, with requisite justifications for prospective candidate’s employment, well in advance, to the Secretary General for approval, and issuing of the employment decree, according to standard university procedures.

(6). Decision of Kuwait University Council No. 1/2013, dated 23/1/2013 and 6/2/2013

Article (26) – Procedures for Appointing Permanent Manpower on Research Projects

The following procedures are followed for the appointment of permanent manpower:

1. The PI completes the Employment Application Form.
2. The nomination should be approved and signed by:
 - The PI
 - The VDR of the PI's faculty
 - Assistant Vice President for Research
 - Vice President for Research
3. The candidate should complete the verification and equivalency procedures of his/her certificates, according to the following:
 - a. The educational qualifications and the graduation grade (GPA) of the nominee is reviewed and determined by the Office of the Vice President for Academic Affairs.
 - b. If the nominee is not a KU graduate, his/her certificates should be endorsed by the Department of Administrative Affairs at KU in cooperation with the Ministry of Higher Education in the State of Kuwait.
4. After approving the nomination, the Director of the Administration at Administrative Affairs forwards the application to the Secretary General for endorsement and issuing the official appointment document.
5. If necessary, and in case of lengthy appointment and certificate verification procedures, it is permissible to issue a conditional contract, allowing the nominee to work temporarily until the procedures are completed. The contract becomes inactive if any of the following conditions exists:

- a. Not meeting the required qualification for the job, due to non-recognition of the certificates by the Ministry of Higher Education.
- b. Not meeting the required graduation grade (GPA), according to the assessment of the Office of the Vice President for Academic Affairs.
- c. Not completing the verification and equivalence procedures of the certificates 18 months after issuing the conditional appointment contract.

Article (27) – Permanent Manpower Monthly Salaries

1. Salaries of the permanent manpower appointed on research projects, for the seven appointment categories, are specified in Table I (Appendix).
2. The finger print system is applied to all manpower appointed on research projects as part of attendance and dismissal system, in compliance to the application of Civil Service Commission Decision No. (2006/41) specifying Rules and Regulations concerning official working hours.

II. Part-time Secondment

Article (28) – Terms and Conditions of Partial Secondment

1. It is permissible to second scientific assistants, technicians or administrative personnel to work on a research project on part-time basis for a period of not less than three months.
2. Part-time secondment is equivalent to one working day per week, either during or outside the official working hours at KU.
3. Part-time secondment, from within or outside KU, is subject to the following terms and conditions:

- a. An official approval should be obtained from his/her current employer.
 - b. The seconded person should have the requested qualifications for the job.
 - c. The secondment must be essential for the execution of the research project.
4. The Part-time Seconded person cannot receive a temporary manpower payment.
 5. Maximum working hours for the Part-time secondment is 100 hours per month, and payment should not exceed KD 250 per month.

Article (29) – Procedures for Part-time Secondment from outside KU

1. Appointment of a part-time seconded person, from or outside KU, is subject to the recommendation of the PI, and the approval of his/her employer.
2. Those appointed from outside KU should obtain the approval of their employer, as follows:
 - For employees in the public sector: The Department of Administrative Affairs at KU writes to their employer requesting the approval.
 - For employees in the private sector: Obtaining an official approval from the employer is the responsibility of the person to be appointed.
3. The PI submits a secondment application to RS (*Research Affairs Division*). The application should include all required information on the candidate, together with a copy of his/her educational certificates and grades, and a copy of a valid Civil ID.

4. The application is approved and endorsed by the VPR and then forwarded to the Secretary General for issuing the secondment decree. The seconded employee should not be assigned any work before the requisite secondment decree is issued.
5. Payments to the seconded person are released, after completing the appointment procedure, upon receiving a request from the PI. The request is made using the Secondment Payment Form, which should be duly signed and endorsed by the PI and the Chairman of his Department. The payment is made according to the number of working hours (maximum payment is KD 250 per month).

Article (30) – Conditions and Procedures for Part-time Secondment from within KU

The following conditions and procedures are applicable for partial secondment of KU employees:

1. Assigned duties should be performed outside the official working hours.
2. The nominated person should have the requisite qualifications, and have the experience and capabilities necessary to perform the work. His/her contribution should be essential to the success of the project.
3. It is necessary to obtain the approval of his/her workplace within KU.
4. It is necessary to obtain the approval of the PI’s department.
5. The seconded person should not be assigned any overtime work in KU, or granted permission to work outside working hours at any workplace other than KU.
6. The PI submits the secondment application to RS, together with the following documents:
 - a. A copy of the educational certificates and transcripts

- b. A copy of his/her valid Civil ID
 - c. A copy of KU employee ID
7. The secondment applications are forwarded by RS to the Department of Administrative Affairs.
 8. It is not permissible to assign any work to the seconded person prior to issuing the secondment decree.
 9. Payments to the seconded person are released, after completing the appointment procedure, upon receiving a request from the PI. The request is made using the Secondment Payment Form, which should be duly signed and endorsed by the PI and the Chairman of his Department.
 10. The payment is made according to the number of working hours (maximum payment is KD 250 per month).

Article (31) – General Rules for Part-time Secondment

1. All part-time secondments terminate at the end of the fiscal year (*March 31st of each year*). If the PI wants to renew the secondment contract, a new application must be submitted to RS, at least one month prior to the expiration date of the current secondment.
2. The PI should forward to RS the working-hours records, by the end of the month, to ensure timely release of the salary.
3. Any payment made by the PI, in violation of the applicable rules and regulations of RS or KU, will not be reimbursed.

Chapter Eight: *Manpower*

Chapter Nine

Research Chair & Postdoctoral Fellowship

Chapter Nine: *Research Chair & Postdoctoral Fellowship*

Chapter Nine

Research Chair and Postdoctoral Fellowship

I. Research Chair

Article (32) – Conditions of Employment

A prospective candidate for ‘Research Chair’:

1. Should be well-reputed, and possess sound health to fulfill his professional responsibilities.
2. Should be a full professor from accredited universities, approved for Kuwait University scholarship.
3. Should have a remarkable track record of scientific research, with published research in international journals of impact factor, as per the Journal Citation Ranking (JCR) ratings.

Article (33) – Nomination Criteria

1. A potential candidate for the position of ‘Research Chair’ is nominated by the Departmental Scientific Council.
2. Nomination is allowed to be made by Faculty Vice Dean for Research (VDR), or anyone on his behalf, on General Faculty projects, with the condition that the nominee presents a work plan and suggestions for research projects.
3. A candidate’s nomination should have the Faculty Council’s approval.

Article (34) – Employment Procedures

1. The concerned Faculty Dean forwards the nominee’s application to the Vice President for Research (VPR).
2. RS’s Implementation Committee examines applications of all nominees to ensure adherence to the set conditions and criteria, and shortlists the selected candidates, based on institutional research priorities.
3. The shortlisted candidates are forwarded to KU President for requisite review and approval, following which the approved applicants are transferred to Administrative Affairs for issuing the employment decree by the Secretary General.

Article (35) – Employment Duration

1. The appointment of a ‘Research Chair’ starts from the beginning of the academic year, for a maximum period of two years, renewable for a third year only, based on need and evaluation of the appointee’s performance by RS’s Implementation Committee.
2. Nomination and application for ‘Research Chair’ are accepted from faculties until January 1st of each year.

Article (36) – Financial Package

1. The holders of ‘Research Chair’ are treated at par with Faculty Members as regards entitlement to salary, accommodation and travel tickets.
2. The package includes 30 days paid annual leave.

Article (37) – General Regulations

1. A total of 10 positions of Research Chair are available during each academic year. This number is subject to reformation by the Funding Committee, if necessary.
2. It is not permissible to assign teaching responsibility to the holder of ‘Research Chair’.
3. Kuwait University regulations are applicable to ‘Research Chair’ appointees concerning matters not specified above.

II. Postdoctoral Fellowship

The Research Sector (RS) is the authorized sector responsible for the selection and hiring of postdoctoral fellows.

Article (38) – Employment Conditions

I. For Kuwaiti's

The following conditions are applicable to potential national cadre candidates interested to work as “Postdoctoral researcher”:

1. A Kuwaiti national, and not employed elsewhere.
2. Holds Ph.D. degree in the concerned specialization, as full-timer, and not on part-time basis.
3. Has not have completed more than five years since the award of Ph.D. degree
4. Submits a duly completed Employment Application, with requisite clearances/Approvals.
5. Receives monthly Reward of KD 1800/-.

6. Meets all employment conditions, and nomination procedures of Postdoctoral Research Program.
7. The Research Sector forwards the employment request, with valid justifications, specifying the maximum duration, not exceeding one year, with possible renewable for another year, well in advance to the Secretary General for approval, and issuing of the employment decree, according to standard university procedures.

II. For Non-Kuwiati's

1. The position of postdoctoral research fellowship is purely non-academic in nature. A postdoctoral fellow participates in conducting research, and accomplishes assigned research-related responsibilities.
2. Conditions applicable to Postdoctoral Research Fellowship at KU:
 - a) Should have good credentials, and be of sound health for performing work responsibilities.
 - b) Should hold a Ph.D. degree (*as a full time registered student, not part-time*) in the concerned specialization. A candidate is considered part-time, if his/her continuous stay in the university, from which he obtains his/her degree, is less than three consecutive academic years.
 - c) Should not have completed more than five years, since obtaining his/her Ph.D. degree.
 - d) Should have a very good grade, not less than 3.00 GPA in Bachelor's degree, or its equivalent from a well recognized university.

- e) The Ph.D. degree should be from a University approved for Kuwait University scholarship, with the exception of those who obtained their Ph.D. from Kuwait University.
- f) Have published research papers, or research papers accepted for publishing in a refereed scientific journal, and especially international journals.

Article (39) – Nomination Procedures

1. A postdoctoral research fellow is nominated by a faculty member, who has funded projects at KU. The faculty member should be a Professor with distinguished scientific research.
2. The nominated candidate should be associated to a granted research project as a co-investigator (**Co-I**).
3. Nomination is allowed on General Facility (*GF*) projects, on the condition that the nominee submits a work plan and suggestions for research projects, in coordination with the Vice Dean for Research (*VDR*), or anyone on his behalf.

Article (40) – Employment Procedures

1. Requisite nomination form is filled by the Principal Investigator (*PI*), or the concerned faculty VDR (*in case of nomination for GF projects*).
2. The nominee's application is submitted to the Departmental Research Committee (*DRC*).
3. The DRC forwards the nominee's application to the Faculty Research Committee (*FRC*).
4. The VDR forwards the nomination(s) to the Vice President for Research (*VPR*).

5. The application is reviewed by RS's Implementation Committee to ensure adherence to the set criteria and conditions of employment, and its preference could depend upon the requirements of developmental plan and research priorities.
6. The shortlisted nominees are forwarded to the Administrative Affairs for issuing the employment decree by the Secretary General.

Article (41) – Organizational Procedures

1. The employment starts from the beginning of the fiscal year. A postdoctoral research fellow is employed for a maximum period of two years, renewable for a third year under exceptional circumstances, and after evaluation of the appointee's performance by RS's Implementation Committee.
2. The period for accepting nominations and applications from faculties is from May 1st to October 15th of each year.

Article (42) – Financial Package

1. A Postdoctoral Research Fellow is entitled to receive a monthly salary of KD 1,800/-
2. 30 days paid annual leave.
3. The salary of postdoctoral fellows are not included in the research project budget.

Article (43) – General Regulations

1. It is not permissible for a postdoctoral research fellow to do temporary work, or be seconded for teaching.
2. Kuwait University regulations are applicable as regards any aspect(s), not mentioned in the document, without contradicting the nature of work of the postdoctoral fellow.

Chapter Ten

Scientific Missions and Visiting Experts

Chapter Ten: *Scientific Missions and Visiting Experts*

Chapter Ten

Scientific Missions and Visiting Experts

Article (44) – Terms and Conditions for Scientific Missions

1. The scientific mission should be of direct relevance to a research project approved by RS.
2. The required budget should be allocated in the project budget.
3. An accepted research paper should be presented in a scientific conference outside Kuwait
4. The theme of the paper, to be presented at the conference, should be relevant to the research project.
5. It is permissible to undertake a scientific mission for presenting a scientific poster (a poster in a symposium or workshop) in the field of specialization of researchers in the faculties of Engineering & Petroleum, Science, Computing Science & Engineering, Architecture, Medicine, Dentistry, Pharmacy and Allied Health Sciences.
6. It is permissible for researchers from the faculties of Arts, Sharia & Islamic Studies to undertake a scientific mission to attend a meeting or a symposium or a workshop relevant to the research subject. However, prior approval of the RS's Implementation Committee is required.
7. A Co-I is allowed to travel on a scientific mission, after a requisite approval is obtained from the PI of the project and the RS.
8. Scientific missions are not granted for General Facility proj-

ects, Specialized Research Units & Laboratories projects, Graduate Studies projects, and RIG projects.

9. A researcher is allowed only one scientific mission (or inviting a visiting expert) for a research project, with the exception of Priority Research Projects, and projects receiving external support.
10. Researchers pursuing Priority Research Projects are entitled to have a scientific mission each fiscal year of the project's duration. In addition, participation in one of such missions is allowed without the mandatory requirement of a research presentation. This mission could be employed for attending a conference, visiting research centers, or establishing communication links and collaboration with experts and specialists in the research field.
11. A researcher is allowed to undertake only one scientific mission, funded by RS, during a single fiscal year, regardless of the number of his/her ongoing projects. Projects receiving external support are exempted from this condition.

Article (45) – Procedures for Scientific Mission

1. The researcher applies for a scientific mission by submitting a duly completed Travel Application Form, providing requisite travel details, and enclosing the following documents:
 - a. A copy of the research paper to be presented, in which the RS support is acknowledged.
 - b. Information about the conference, place and date.
 - c. Proof of acceptance of the research paper to be presented, approval of the organizers, or an invitation to attend the conference.
2. The scientific mission application should be endorsed by the Chairman of the Department. This is to formally grant approval

of absence during the period of the mission, or assurance that the researcher has no teaching load during summer semester, or exam commitment during the mission period.

3. The scientific mission application should be submitted to RS at least *four weeks* prior to the actual mission date.
4. The scientific mission should be approved by the VPR, and forwarded to the President of the University for final approval and issue of the decree.
5. The researcher may apply for a scientific mission anytime during the implementation period of the project, and within one fiscal year following the fiscal year of the end of the project.

Article (46) – Financial Support for Scientific Mission

1. Financial support for the scientific mission on research projects in RS is granted in accordance to KU rules, as follows:
 - a. KD 2,500/- for Far East countries, North and South America, Australia, New Zealand, and South Africa.
 - b. KD 2,000/- for European countries South East Asia and Africa.
 - c. KD 1,200/- for Middle East, Arabian Gulf and Egypt.
2. Scientific missions on projects funded by Kuwait Foundation for the Advancement of Science (KFAS) follow the applicable rules, conditions and financial terms of KFAS, or otherwise specific statements started in the funding contract. Due attention should be considered that KFAS grants scientific mission solely to accomplish or complete one of the scientific tasks of the project, and not for attending a conference or international symposium.
3. The researcher is not allowed to obtain additional financial support for the same mission from other sources, or from project funded by KU.

4. An amount of KD 200/- is deducted from the mission allocation granted to a non-Kuwaiti researcher, if the mission is undertaken during the summer semester. The faculties of Medicine, Pharmacy and Dentistry are exempted from this condition.

Article (47) – Scientific Mission Report

1. The researcher should submit a report on the accomplished scientific mission. The report is submitted using a dedicated form, within a maximum period of *two weeks* following the completion of the mission.
2. The report is submitted to the VDR for approval, before forwarding it to RS.
3. In case the mission report is not submitted in time, RS is authorized to put the project *on-hold*, and stop all financial transactions, except payment of manpower salaries.

Article (48) – Inviting a Visiting Expert

1. It is permissible to invite a visiting expert, during the implementation period of the research project, provided that a visiting expert budget is allocated under the “scientific mission and visiting expert” category.
2. A researcher cannot avail himself/herself of both a scientific mission and the services of a visiting expert in a single university research project, except for Priority Research Projects and externally funded projects.
3. The PI should submit an application to RS requesting the invitation to the visiting expert at least **three months** prior to the intended date of the visit. The application should be supported with a valid justification for the purpose and necessity of the visit. Moreover, the following documents should be enclosed with the application:
 - a. CV of the visiting expert.
 - b. Proposed program for the visit.

- c. Correspondences with the expert, and any supporting documents, indicating his/her acceptance and commitment to the visit. The visiting expert should be aware of the proposed program.
 - d. A copy of the expert's passport.
4. Allocations for the visiting expert include the following:
 - a. Return ticket from the place of residence of the visiting expert, *economy class* for assistant/associate professors, and *business class* for professors.
 - b. Accommodation at the KU Guest House, or what the general services administration provides.
 - c. Weekly payment of KD 500/- for professors, and KD 350/- for assistant/associate professors. Overall payment should not exceed KD 1,000/- for the whole duration of the visit.
5. The visiting expert should submit a report on the visit to RS, within three weeks of the visit. The PI is responsible for the coordination, preparation and submission of this report to RS.
6. In case the report of the visiting expert is not submitted on time, RS is authorized to put the project *on-hold*, and stop all financial transactions, except payment of manpower salaries.

Chapter Ten: *Scientific Missions and Visiting Experts*

Chapter Eleven

*Regulations Governing
the Implementation
of Research Projects*

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of Research Projects*

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Chapter Eleven

Regulations Governing the Implementation of Research Projects

Article (49) – Duration of Research Projects

1. The duration of the research project is specified by the researcher. It should not exceed 36 months, the maximum period allowed for implementing a research project.
2. The researcher should specify the starting date for the implementation of the research project, and allocate the budget to the respective fiscal years. These should be done during the first three months following RS's official approval of the grant support. Failure to do so will result in changing the status of the project from *approved* to *cancelled*.
3. In case the PI does not want to implement the project during the first three months following the grant approval, he/she can submit a formal request to RS, supported by valid justification, for postponing the starting date.
4. Research projects approved during the period from March 15th to June 30th are exempted from the three months project initiation period. The starting date of these projects should be at most October 1st, after approval of RS.
5. The researcher can, in exceptional circumstances, freeze the implementation of the research project, temporarily, for a maximum period of three months. This is subject to the approval of RS, following submission of the request, which should be supported by a valid justification, and in such cases, it is not allowed to do any financial dealings during the freeze period, including salaries of manpower on the project.

6. In case the contract of the PI with KU is terminated, or he/she is not able to continue implementing the research project for any reason, RS should be informed so that necessary actions are taken to ensure the continuity of the research activities.
7. It is preferred that faculty members, who are employed on a contract basis and have reached the age of 73 years, continue their participation in research activities as CoIs or participating researchers, rather than PIs. In this case, it is the responsibility of the PI to ensure continuity of the research project when a member of the research team leaves KU.

Article (50) – Extension of Project Duration and Supplementary Funding

1. The researcher can request an extension of the project duration, supplementary funding, or both.
2. The request should be submitted by the PI, using a special application form, and supported by a valid justification. The application is forwarded to RS after endorsement of the VDR.
3. It is important that the application is submitted at least *three months* prior to the end of the original period of the project.
4. The application is discussed by the RS's Implementation Committee. Approval of the extension and supplementary funding is based on an evaluation of the available progress reports.
5. The maximum extension limit is *one-third* of the original duration of the project.
6. The maximum limit for supplementary funding under for manpower category will not exceed the amount necessary to cover the salaries of the appointed permanent manpower for half of the extended period.
7. The supplementary funding should not result in exceeding the

budget ceiling of research projects having KD 4,000/- or KD 10,000/- budget limits.

8. Reallocation of supplementary funds is not permitted.

Article (51) – Responsibility for Implementation of Research Project

1. RS holds the PI solely responsible for the implementation of the research project.
2. The PI may delegate the implementation responsibilities of the research project to one of the Co-Is, in circumstances such as starting a sabbatical leave, or summer vacation. He/she should inform RS about the authorization, which may include financial transactions and manpower.
3. The PI is not allowed to make a major change or addition to the approved research methodology without the approval of RS.

Article (52) – Transfer of Budgetary Allocations

1. It is not allowed to transfer allocated amounts from the budget of one fiscal year to the next.
2. It is allowed to transfer amounts listed under the equipments category from one fiscal year to another, under the condition that the PI has submitted the purchase orders in the fiscal year for which the specified amount was allocated. The remaining amount in the equipment category can not be transferred.
3. It is allowed to transfer allocated amounts from one budgetary category to another in the same fiscal year. This request is made by submitting a transfer application to RS. The application should be signed by the PI and endorsed by the VDR.
4. Budget reallocations and supplementary funding applications are

studied by the RS's Implementation Committee. The following guidelines are considered in taking the decisions:

- a. Reallocation of amounts from one budgetary category to another is allowed only *three times* during the course of the project.
- b. It is allowed to transfer the amount allocated to undertake a scientific mission to inviting a visiting expert, and vice-versa.
- c. It is not allowed to transfer amounts allocated to scientific mission, and inviting a visiting expert to any other budgetary category, and vice-versa.
- d. Balances or remaining amounts in the scientific mission and visiting expert category are considered as spent amounts, which are not reimbursed under any circumstances.
- e. It is possible to transfer the amounts allocated to the running cost category (consumables and temporary manpower) to any other budgetary category, except scientific mission and visiting expert.
- f. It is not allowed to transfer amounts blocked for permanent and seconded manpower. This is to ensure payments of salaries to the permanent and seconded manpower for the remaining contractual period.
- g. It is allowed to transfer remaining amounts in the manpower category to the running cost category (consumables and temporary manpower).
- h. It is not allowed to transfer amounts allocated to the equipment category to any other category.
- i. Equipment purchasing requests are restricted to only those items specified in the approved research project application.

Chapter Twelve

Research Reports and Productivity

Chapter Twelve: *Research Reports and Productivity*

Chapter Twelve

Research Reports and Productivity

Article (53) – Research Reports (Periodic and Final)

1. It is mandatory that the PI submits the periodic and final reports on the due dates specified in the research grant contract. Periodic report(s) should document the research progress and accomplishments.
2. In case the PI fails to submit a periodic or final report, RS is authorized to put the project *on-hold*, and freeze all transactions, except paying the manpower salaries. An exemption period of three months is allowed for periodic reports and six months for final report.
3. Periodic and final reports are duly refereed. If any report is rated lower than *good*, the project is put *on-hold*. In this case, the PI is requested to respond to the referee's comments, incorporate the needed modifications, and resubmit a revised version of the report. The revised report is sent back to the referee for re-evaluation and possible re-rating, so that the implementation of the research project could continue, and in case the final report gets "Good" or above, it is not sent for re-refereeing.
4. It is essential that all projects reports submitted for evaluation must be complete in all respects, taking due care of the elements required for refereeing purposes. In preparing the reports, the researcher must adhere to the rules specified by RS concerning periodic and final reports, such as including a covering page summarizing the main information of the research project, which are as follows:
 - a. Project number, title, total allocated budget, and supplementary fund, if any.

- b. Starting and ending dates of the project, and extension period, if any.
- c. Members of the research team.
- d. Research papers resulting from the project, if any.

Article (54) – Research Productivity

1. All necessary efforts should be made to achieve the objectives of the research project, as specified in the original approved research proposal. The PI should ensure that the results and outcomes are published in research papers, which are considered as *productivity* of the research project. The productivity should be at least *one research paper* published, or accepted for publication, in a refereed journal (Article no.(11)). All publications that may result from a funded research project should be forwarded to RS. A paper submitted for publication is considered pending until the PI forwards an acceptance letter from the journal.
2. It is mandatory that the PI acknowledges the support provided by RS at KU. The acknowledgement should refer to the grant number of the research project and any other support, such as utilization of general research facilities. An example of acknowledgement is given by the following statement:

“This work was supported and funded by Kuwait University, Research Project No. (---), and General Facilities Project(s) No. (---)”, (if any).
3. The researcher should adhere to the terms and conditions stated in the research contract, and observes all RS rules and regulations related to the productivity of research projects. In particular, the clause related to the acknowledgement of support, and authorship in research papers (Article 7 of the contract). This is essential if the publications are to be considered as productivity for the research project.
4. If, during the implementation period of the research project, the

need arises for certain expertise to achieve a given task, then the PI can seek help from somebody who is not a member of the research team. In this case, the PI should request adding new member(s) to the research team, known as contributor(s). Their role in the progress of the research work should be justified. Such a request should be submitted to RS at least six months before the end of the research project. Approval of this addition would entitle the PI to include the name(s) of the contributor(s) to the authorship of project's research productivity.

5. A published research paper is considered as productivity to only one research project. In case more than one research project is acknowledged in a single paper, productivity is assigned to the first-mentioned project. Productivities of General Facility projects are exempted from this condition.
6. It is imperative that the published productivity of a project should follow project implementation. Hence, the submission date of the scientific paper should be after the starting date of the research project. This could logically be considered as leading to the generation of any publishable research output from funded research, bearing relevance to the subject being researched.
7. Once the project is granted research support, the PI should not accept funding from any other source, or acknowledge any other support, unless a prior written approval of RS has been obtained.
8. The PI's participation in research activity also involves his/her readiness to present the research results at scientific forums, poster presentations, discussion sessions, or conferences organized by RS, when deemed necessary.
9. RS has the right to omit the research accepted for publishing from the project's productivity record if the researcher does not update it, within 5 years of its acceptance for publishing.

10. The PI could add the visiting expert along with the members of the research team and the temporary manpower as authors in the published papers.
11. The researcher should aim at achieving the expected productivity stated in the project in compliance with the budget and duration of the project according to the following:
 - a- For projects with budget above KD 20,000/-:

To publish at least one research paper in top 25% of the international scientific refereed journals with an impact factor rated according to the Journal Citation Report (JCR), in the scientific discipline of the PI.
 - b- For projects with budget up to KD 20,000/-:
 - i. Scientific Faculties:

To publish at least one research paper in an international refereed scientific journal with impact factor according to the Journal Citation Report (JCR).
 - ii. Humanities Faculties:

To publish a paper in a refereed scientific journal for which Ulrich's database is the major source of reference.
12. The PI should be the corresponding author for all productivity of his/her funded project.
13. Only papers published in English language are counted as productivity for the Faculties of Science, Engineering & Petroleum, Health Sciences, College for Women, College of Computing Sciences and Engineering, and College of Architecture.

Chapter Thirteen

*Special
Research
Projects*

Chapter Thirteen: *Special Research Projects*

Chapter Thirteen

Special Research Projects

Article (55) – Priority Research Projects⁽⁷⁾

1. These projects aim at addressing critical issues of priority concern. The specific priority areas were short listed by RS through examining of a cross-section of opinions from the faculties, work centers, ministries and concerned institutions in the country, and subsequently finalized and approved by the Funding Committee.
2. The PI should submit the research proposal together with a request for considering it under this category of projects.
3. The project proposal and PI's request are presented to the RS Implementation Committee for approving the project as a priority research project, and specifying the area of priority it comes under.
4. The special benefits granted to priority research projects are as follows:
 - a. Priority is accorded in project refereeing and presentation to the Funding Committee.
 - b. Priority in the use of equipment and services of the General Facility laboratories at KU.
 - c. Flexibility in appointing permanent manpower by allowing the PI the possibility of appointing two types of manpower.
 - d. For each priority project that is rated as "excellent", through the evaluation of the project's final report, the PI is awarded a Certificate of Merit, and a cash prize of KD 1,000/-.

(7). Approved by the University Council in its Meeting No. 3/2005, dated 7/6/2005.

In addition, each Co-I of the research team is awarded KD 500/-.

- e. Researchers pursuing Priority Research Projects can avail themselves of a scientific mission each fiscal year of the project's duration. In addition, participation in one of these missions is allowed without the mandatory requirement of a research presentation. As an alternative to attending a conference, this mission could be employed for visiting research centers, or establishing communication links and collaboration with specialists in the research field.
5. Progress and final reports of priority research projects are evaluated through RS regardless of the project's budget.

Article (56) – Graduate Students⁽⁸⁾ Research Projects

Graduate student research projects aim at facilitating Master's and Ph.D students to pursue research as part of their graduate program. They are granted and implemented in coordination with the Faculty of Graduate Studies, and are governed by following rules and regulations:

1. The student should be enrolled, as full- or part-time, in one of the graduate programs.
2. Maximum duration of graduate project is *18 months* for Master students, and *36 months* for Ph.D students.
3. The maximum funding limit for Master's projects is KD 6,000/-, and KD 18,000/- for Ph.D projects.
4. All students, who are awarded graduate research projects, are entitled to a monthly stipend, which is not part of the project budget, as follows:
 - KD 100/- per month, for the project period and maximum for 18 months, to Master's students.

(8). Approved by the University Council in its Meeting No. 4/2006, dated 25/12/2006.

- KD 100/- per month, for the project period and maximum for 36 months, to Ph.D students.

The student would not be granted the stipend if he/she is an unregistered student, or after submitting the final report.

5. Graduate students research projects, regardless of their budget, are subjected to following evaluation process:
 - One external referee for a Master's project
 - Two external referees for a Ph.D project
6. Research Reports: For the Master's project, submission of periodic reports is not required, while submission of annual progress reports is mandatory for the Ph.D. project.
7. The Master's or Ph.D. thesis is considered as the final report of the project. The thesis is forwarded to RS after its approval and evaluation by external referees, selected by the Faculty of Graduate Studies.
8. Scientific productivity of Ph.D. students projects should not be less than one research paper published or accepted for publication in a refereed scientific journal. This is not obligatory for Master's students projects.

Article (57) – Research Initiation Grant (RIG) Projects

RIG projects are aimed at new Kuwaiti faculty members, who join various KU faculties as Assistant Professors. They should have been employed at KU in this capacity for less than two years, without availing themselves a research grant.

RIG projects are meant to provide an incentive to new Kuwaiti faculty members to initiate their participation in scientific research activities, through the submission of proposals as Principal Investigators. These projects are governed by the following rules and regulations:

I. Terms and Conditions

1. RS offers a RIG project to new *Kuwaiti faculty members* only, who have not completed two years since joining KU.
2. This grant facility is awarded only once for researcher who has not had any research project funded before.
3. The research team of the RIG project consists of only one researcher, who is the PI of the project. No CoIs, whether resident or non-resident, are allowed to participate in the project.
4. It is not allowed to appoint manpower (permanent or secondment) on RIG projects, or apply for scientific mission or host a visiting expert.
5. Transfer of budget is not allowed from one fiscal year to the next.

II. Funding Level

The maximum funding limit for a RIG project is KD 2,000/-.

III. Project Duration

The maximum duration for a RIG project is 12 months.

IV. Research budget of RIG projects is confined to the following categories:

1. Consumables
2. Temporary manpower
3. Equipment

V. Procedures

1. The researcher submits his/her proposal on a duly completed, signed and stamped RIG Application Form.
2. The RIG application is submitted through the VDR to the OVPR by the end of February, and execution of research work should start on April 1st.
3. The grant is awarded after the approval of the VPR.
4. On completion of the RIG project, the researcher must submit a final report using a special form. This report is submitted to the VPR for approval, and the requisite decision is relayed to the researcher.

Article (58) – General Facility Projects

General Facility projects are awarded to faculties for establishing their research laboratories and equipment resources for the development of the research capabilities of faculty members. Specific rules govern these projects as follows:

1. The research team of a general facility project consists of the VDR as a PI, and the chairmen of the scientific departments as CoIs. For General Facility projects which are shared by a number of Faculties, the research team (PI and Co-Is) is formed by the Vice President for Research in coordination with the Deans of the concerned Faculties.
2. Each project should have its own independent budget, which is independent of the budget of other projects.
3. Purchase of equipment from the project's budget is permissible only for those items originally listed in the original proposal of the project.

4. When needed, additional new equipment can be acquired through one of the following procedures:
 - a. Initiating a new General Facility project, specifying the additional equipment requirements.
 - b. Incorporating the additional equipment in an ongoing General Facility Project, and re-submitting a revised project, with the new equipment and budget, for re-evaluation.
5. The running cost requirement for each project could be budgeted under the following sub-categories:
 - a. Maintenance.
 - b. Upgrades
 - c. Accessories
 - d. Consumables
 - e. Temporary Manpower
6. For ordering equipment or purchasing spare parts, a special purchasing order form should be filled and forwarded at the appropriate time to RS for approval and further action.
7. It is important to include the cost of upgrading and developing the equipment in the budget of the project.
8. Each piece of equipment should have a log book to record the operational information specified by RS. These records should be regularly maintained and the log book kept updated. These should be submitted to RS on request.
9. The PI and CoIs of the project are updated in case the VDR or one of the Department Chairmen changes.
10. If the General Facilities are utilized, then it is mandatory that the researcher acknowledges the General Facility Project and state its number, in his/her research productivity, as per the terms of Article 54.

11. The PI should present the first progress report of the General Facilities project after two years of the date of starting the project, and thereafter submit annual progress reports.
12. Reallocation of maintenance and equipment categories to any other category is not allowed for General Facility Projects.

Article (59) – National Research Projects

National Research projects are special grants, which aim at encouraging researchers to address areas of strategic national significance, in response to outstanding social and community issues, to arrive at scientifically determined solutions based on research results.

These projects are generally governed by special rules applicable to each individual project. Such rules are determined by the Implementation Committee, and cover the project funding, refereeing, publications and productivity issues.

Article (60) – University Service Projects

University Service projects are granted for developing university services, academic excellence and administrative facilities related to teaching or research, to expedite the institutional developmental process.

These projects are generally governed by special rules applicable to each individual project. Such rules are determined by the Implementation Committee and cover the project funding, refereeing, publications and productivity issues.

Article (61) – External Research Projects

External Research projects are implemented through the support and cooperation of external institutions involved in advancing scientific research through the rendering of resource support. The Office of External Research Collaboration and Consultation (OERCC) will oversee fund generation, programs and intellectual properties emanating from

these projects. The following terms and conditions govern the implementation of external projects:

I. Project Proposal Application

1. The application for funding the project is prepared in active coordination between the researchers, funders and OERCC, and submitted to RS. The scientific department of the researcher is informed accordingly through the VDR.
2. The scientific research element should be clearly defined and duly justified in the proposal. Projects intended for consultative purposes cannot be considered as external research projects.

II. Refereeing

These projects are refereed by the institution providing the funding. Project evaluation reports are sent to RS and forwarded to the researcher requesting his/her response to the referees' comments.

III. Funding

1. These projects are funded by the external institution either fully or partially. In case of partial funding, the concerned institution specifies the amount that will be granted, and the remaining amount will be funded by KU.
2. Based on the approval of the external fund providers and RS, the budget of an external research project may include honoraria for the members of the research team, according to the terms agreed, and should not exceed KD 600/- for PI, and KD 500/- for the CoI, and this should be listed in the contract (the agreement) in addition to names of the beneficiaries.
3. After the final approval of the research grant, the funding institution transfers the payments due to KU's account, which are

spent according to the terms, conditions and dates specified in the contract.

IV. Research Reports

The number and dates of progress reports are specified by the funding institution. All correspondence between the PI and the funding institution concerning the implementation of the project should be through RS.

Article (62) – GCC Joint Projects

GCC Joint projects are implemented jointly through the process of research cooperation between KU and one or more of the GCCC universities, in accordance with the agreement concerning each project.

Article (63) – Specialized Research Units & Laboratories (SRUL) Projects

Specialized Research Units and Laboratories (SRUL) Projects are aimed at developing institutional resource and facilities that are advanced, theme-oriented, and world-class. Such facilities have a specialized focus, and are intended to enhance institutional capacity and capabilities for high quality, specialized research that is internationally competitive. This objective is realizable through re-structuring existing General facilities, or creating entirely new Research Units or Laboratories (RUL)⁽⁹⁾ built around areas of research strengths. The Specialized Research Units & Laboratories (SRUL) would be responsible for the governance of these emerging RULs, overseeing their management, functionality and operations. Rules and Regulations governing RULs are provided in Chapter 15.

The regulatory framework of SRUL projects is outlined below:

1. Each SRUL is associated to RUL, and assigned a unique code (ID).
2. The title of the SRUL is the same as the title of its associated RUL.
3. The Research team of the SRUL consists of the Director of the RUL, while the Co-Is are the members of the steering committee.
4. Budget allocated to the SRUL project covers the operational expenses of its associated RULs and includes the following categories:

(9). *Approved by the University Council in its Meeting No. 2/2013, dated 21/5/2013.*

- a. Permanent, seconded and temporary manpower.
 - b. Operational expenses and consumables.
 - c. Maintenance of scientific equipment and facilities.
 - d. Cost of holding workshops and scientific seminars.
 - e. Inviting visiting expert.
 - g. Cost of obtaining the quality certificate, and sustenance of certified quality standards.
5. The requisite budget for SRUL projects are approved and allocated at the beginning of the fiscal year.
 6. It is mandatory that productivities and research outcomes that result from utilizing RULs acknowledge their associated SRUL projects, as per the terms in Article 54.

Article (64) – General Rules for Special Research Projects

The rules and regulations governing the research projects, as outlined in Chapters One to Twelve are uniformly applicable to all projects, where special rules and conditions are not defined. Specific types of the special research projects outlined in this Chapter are governed by special rules, specifically evolved for the purpose, that reflect the nature of such projects, but do not contravene with the general system of research support.

Chapter Fourteen

Research Awards & Incentives

Chapter Fourteen: *Research Awards & Incentives*

Chapter Fourteen

Researcher Awards and Incentives

I. Researcher Awards

Article (65) – Best Young Researcher

The Best Young Researcher award is specifically meant for faculty members at the Assistant Professor level, who have not exceeded five years in that position. Nominees for this award should exhibit distinguished performance through their research activity and accomplishments in their respective field of specialization. Kuwait University has designated four awards in this category, two for Sciences, and two for Humanities. The Award includes a merit certificate, and monetary reward of KD. 2,000/-, which is awarded to the researcher only once.

1. The choice of nominees rests with the higher specialized committee. The nomination is subject to standard procedures that vary from one category to another, and in accordance to regulations governing the completion and submission of the Researcher Award's Application.
2. A nominee is entitled to submit requisite documents in support of his/her candidature, along with the application.
3. The nomination and selection process for award winning entries is open to all faculty members, from all KU faculties.

Article (66) – Distinguished Researcher Award

A nominee for the Distinguished Researcher Award should have

exceptional scientific accomplishments to his/her credit, as evidence of having achieved scientific excellence and research distinction. A total of six awards are offered by KU in this category, of which three are for Sciences, and three for Humanities. The Award includes a merit certificate, and monetary reward of KD. 3,000/-. A researcher, having previously won this award, is NOT eligible for the award again, until the lapse of a period of four years.

1. A nominee is required to submit 10 full research papers, whether generated from funded or unfunded research. At least seven of these papers should be published or accepted for publication in refereed scientific journals.
2. The nominee should be the first author in five research publications.
3. Four of these papers should have been published while the candidate is a faculty member at Kuwait University, and within the last five years of his/her nomination for the award. At least, one paper should have been published in any one of KU's scientific journals.
4. The list of papers submitted in support of the nomination, should not include any research paper for which an award had previously been won.
5. The nominee is entitled to support his/her candidature by selecting and submitting any of the following:
 - a- Paper(s) presented in conference and published book(s).
 - b- Achieved distinguished scientific innovations in his/her field of specialization, through original research of significant scientific impact.
 - c- Distinguished participation in his/her field of specialization, seminars, academic meetings, such as chairing seminars and meetings, or having a position in one of the professional

societies, or membership in the Board of Editors of any journal or periodical.

- d- Principal Investigator of a research project, or a referee for research evaluation or participation in establishing Centers of Excellence.

Article (67) – Graduate Students Project Prize

The fundamental objective of this award is to identify distinguished Graduate Studies Students, and awarding them for their significant research achievements that they accomplish through the successful completion of their thesis. Such recognition is expected to stimulate a culture of research and scientific creativity at the graduate studies level, so that students develop at an early stage their analytical and scientific thinking through experimentation and research, having tremendous significance in widening their scientific and intellectual horizons.

- 1- Six awards are annually awarded in Sciences and Humanities fields, four for Master’s, and two for Ph.D.
- 2- Each prize includes:
 - a. Certificate of Merit
 - b. KD 750/- for Master’s, and KD 1000/- for Ph.D.

II. Research Incentive Rewards

Article (68) – Funded Research Incentive Rewards⁽¹⁰⁾

- 1. A KD 1000/- is rewarded to the author(s) for each research paper, considered as productivity of any research grant, published in top 25% of the international journals with impact factors evaluated according to the Journal Citation Report (JCR) in the concerned scientific field of the candidate.
- 2. The Research Sector (RS) specifies the share of the reward for each

(10). Decision of University Council in its Meeting No. 2012/3, dated 18/4/2012.

researcher in multi-authorship paper(s).

3. The reward is restricted to a maximum of two papers in one calendar year.
4. Funded research papers are considered by RS for the reward only according to the following conditions:
 - a. When the corresponding author is the principal investigator (PI) of the project.
 - b. When none of the co-authors is part of the Editorial Board of the same journal.
5. An award of KD 500/- is given to the PI for each Project Final Report of funded research that achieves “Excellent” rating from an external referee, for the Scientific and Humanities Faculties, with the exception of the Faculty of Sharia & Islamic Studies, and the Arabic Language department of Arts Faculty. The award is given to only one project per calendar year.
6. An award of KD 1000/- is given to the PI for each Project Final Report of funded research that achieves “Excellent” rating from an external referee for the Faculty of Sharia & Islamic Studies, as well as for the Arabic Language department of the Arts Faculty. The award is given to only one project per calendar year.

Article (69) – Unfunded Research Incentive Rewards

1. An award of KD 1000/- is given to the researcher or all researchers (in multi-authorship paper) for each published research paper in top 25% of the international journals with impact factor evaluated as per the Journal Citation Report (JCR) standard, in the candidate’s scientific field.
2. The award is confined to only two research papers per calendar year.

3. The Research Sector (RS) specifies the share of each researcher in multi-authorship paper(s).
4. Unfunded research papers are considered by RS for the reward only according to the following conditions:
 - a. When the corresponding author is a KU faculty member.
 - b. When research has not been funded by institutions or organizations outside Kuwait.
 - c. When none of the co-authors is part of the Editorial Board of the same journal.
 - d. When the research is executed while the corresponding author is at KU.

III. Funded Research Project Incentives

Article (70) – Research Project Incentive Rewards ⁽¹¹⁾

Conditions for awarding financial rewards to KU researchers for successful completion of funded research project:

1. The researcher qualifies for financial reward for achieving excellence in scientific research, provided he/she is the recipient of research reward incentive for funded or unfunded research, either as a PI or CoI, or as a contributor. The researcher from humanities and social sciences faculties also qualifies for financial reward, provided he/she is the recipient of research reward for achieving excellence in project final report.
2. The faculty member who fulfills condition 1 (above), can approach the Research Sector with a new research proposal, provided he/she is the project PI.

(11). Decision of University Council in its Meeting No. 2013/1, dated 23/1/2013 & 6/2/2013.

3. A faculty member is entitled to a financial reward of KD 4,000/-, awarded once per project, provided he/she publishes the project's scientific outputs in top 25% (Q1) journals, rated as per the Journal Citation Report (JCR) in the scientific field of the candidate. Or, a financial reward of KD 2,000/- is awarded to a faculty member only from the humanities and social sciences faculties, provided he/she achieves excellent rating from an external referee for his/her project final report.
4. In case a project includes more than one researcher, who met condition 1 (specified above), the PI gets half of the reward's value, and the remaining amount is equally distributed among the project's CoIs from Kuwait University.

Chapter Fifteen

*Research Units
or
Laboratories (RUL)*

Chapter Fifteen : Research Units or Laboratories (RUL)

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Chapter Fifteen

Research Units or Laboratories (RUL)⁽¹²⁾

Article (71) – Definitions

Research Unit: is a specialized scientific center dedicated to specific research field that seeks to develop capabilities for enriching scientific research in specialized and advanced scientific areas.

Research Lab: is a center that houses advanced scientific equipment for conducting experiments and tests required by researchers in their specific field(s) of research.

Article (72) – Goals

The main goals of establishing Research Units or Laboratories (RUL) are aimed at achieving the following:

1. Effective utilization of facilities and capabilities and providing the infrastructure for executing advanced scientific research projects.
2. Develop and implement strategic plans for raising the status of scientific research at KU.
3. Highlight and enhance KU's research strengths.
4. Encourage multidisciplinary research, joint projects and activities across faculties.
5. Provide continuous support, and enhance research infrastructure through:

(12). *Decision of University Council in its Meeting No. 2/2013, dated 21/5/2013.*

- a) Establishing research units and laboratories with latest most advanced scientific equipment.
 - b) Avoiding duplication of facilities and equipment.
 - c) Providing continuous maintenance of scientific equipment, with requisite upgrades, and ensuring that the facilities are maintained in good working condition.
 - d) Providing trained cadres, developing their skills and ensuring safety.
6. Improve the quality of Scientific research through:
 - a) Promoting specialized research groups and consortiums.
 - b) Training and encouraging participation of young researchers.
 - c) Supporting and promoting graduate students' research activities.
 - d) Focusing on priority research areas of direct relevance to society, and finding practical solutions to local concerns and problems.
 7. Develop partnerships and collaboration with local, regional and international research institutions.
 8. Focus on research results and outcomes, also explore their commercial propensity.

Article (73) – Procedures for Establishing RULs

1. RULs are established based on any one of the following mechanisms:
 - a) Re-structuring ongoing General facility (GF) projects, by transferring one or more GF project(s) to RUL. This results in automatic halting of the earlier GF project(s).
 - b) Development of a new RUL.
2. The procedure for establishing a RUL through re-structuring of GF research projects would involve the following steps:

- a) The faculty Dean submits a request to the Vice President for Research for establishing the unit or lab.
 - b) The request is presented to the RS Implementation Committee to ensure that the requisite conditions have been met, leading to initial approval.
 - c) The request is assessed based on evaluation of annual report of constituent GF project(s).
 - d) The request is forwarded to the Funding Committee for final approval.
3. The procedure for establishing a new RUL would involve the following steps:
- a) The faculty Dean submits a request to the Vice President for Research for establishing the unit or lab, together with a Specialized Research Units and Laboratories (SRUL) project application.
 - b) The Vice Dean for Research acts as a PI until approving the new RUL and appointing a Director.
 - c) The request is presented to the RS Implementation Committee to ensure that the requisite conditions have been met, leading to initial approval.
 - d) The request is assessed based on evaluation and refereeing procedures as applicable to GF projects.
 - e) The request and referee reports are presented to the Funding Committee for final approval.
4. The request for establishing a RUL must include following information:
- a) The name (title) of the unit or lab specifically reflecting its identity and area of research.
 - b) Vision, mission and objectives of the proposed RUL.
 - c) The proposed plan as regards implementing and achieving the goals specified in Article (72).
 - d) The financial plan and budgetary requirements.
 - e) Nominating three 3 candidates, preferably Professor's rank, for the selection of a director for the proposed RUL.

5. Following the approval of RUL, a new Specialized Research Units and Laboratories (SRUL) project is created to handle its financial and administrative transactions, as per the terms in Article (63)
6. The faculty must allocate the needed space and necessary services for the RUL.

Article (74) – Organizational Regulations

1. The Vice Dean for Research (VDR) supervises the RULs in his/her Faculty, while the RS supervises the “Central” RULs that provide research services to various faculties at KU.
2. Future plans, annual reports and performance evaluation reports must be presented to the Faculty Scientific Research Committee.
3. The Director, designated for the research unit or lab, must assume the responsibility of the Principal Investigator (PI), for a period of 2 years renewable only once, and is authorized to fulfill the responsibilities as stated in Article (75).
4. The Director is the Principal Investigator (PI) of the SRUL project associated to the RUL.
5. The Director of the RUL should preferably be of the Professor’s rank, however, under exceptional circumstances an Associate Professor could be so designated, and delegated with the Director’s responsibilities, if necessary.
6. The Director of the RUL is selected through coordinated efforts between the Vice President for Research and the Faculty Dean, following approval of the nominated names by the Faculty Research Committee and the VDR.
7. The VDR constitutes a “Steering Committee,” tasked with ensur-

ing the work and functionality of a given RUL. The Committee is headed by the Director (PI of the SRUL project), and a maximum of four members, who are assigned the role of Co-Investigators (Co-Is).

8. The Vice President for Research forms a “Research Unit Committee” headed by one of his Assistants, and its membership includes all Directors of RULs in different Faculties. The committee’s task is to coordinate and follow the development and implementation of key performance indicators (KPIs), and propose requisite improvements, if needed, to ensure and enhance performance.
9. It is preferable to obtain relevant internationally certified quality certificate (ISO) for the RULs.

Article (75) – Responsibilities of the Director of RUL

The Director is functionally responsible for ensuring smooth operations of the RUL, and fulfills following responsibilities:

- a) Encourage and motivate scientific research.
- b) Management of the RUL.
- c) Continuous evaluation using the KPIs, preparing annual reports, and promote available services.
- d) Financial and budgetary activities.
- e) Obtaining the quality certificate (ISO), and ensuring its continuity.

Article (76) – Funding of Research Units and Labs (RUL)

1. RS provides financial support for the RULs through their associated SRUL projects. The requisite budget for which is approved and allocated at the beginning of the fiscal year.
2. The Director of a RUL is granted an award of KD 750/-, paid twice during the academic year (each semester) .

3. The purchase of new scientific equipment is permissible, subject to evaluation and approval of the request by RS Implementation Committee. Refereeing is necessary for requests exceeding KD 20,000/-.

Article (77) – Research Services and Consultations

1. It is permissible to offer research consultations and services for tests, with priority accorded to research projects and meeting researchers' needs.
2. Consultation services are offered through the RS Research Services & Consultation department.
3. Financial rules and regulations of the RS Research Services & Consultation department are applicable for all research services and consultation activities of the RULs.
4. The cost of tests and consultation services are determined to cover all operational expenses, in addition to a good income allocated for development, as per existing financial rules and procedures.

Appendix

*Salaries
of Manpower*

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Appendix

Salaries of Manpower Employed on Research Projects ⁽¹³⁾

Table 1. Salaries of Manpower Employed on Research Projects

Employment Category	Qualifications	Monthly Salary (KD)
Research Associate	Ph.D Degree and Bachelor's Degree (B.Sc. very good grade)	700/-
Senior Research Assistant	Master's Degree and Bachelor's Degree (B.Sc. very good grade)	600/-
Research Assistant	Bachelor's Degree (very good grade) or higher degree	550/-
Senior Technician	Bachelor's Degree and five years experience	500/-
Technician	Bachelor's Degree or Higher Diploma	450/-
Assistant Technician	Scientific Diploma and three years experience	350/-
Admin. Employee/Secretary	Diploma and three years experience	300/-
Other Manpower	No specific qualification needed	250/-

(13) Decision of University Council No. 2008/3, dated 6 & 13/7/2008, and University President Decree No. 1727, dated 20/7/2008. The monthly salaries include the "Cost of Living" allowance (KD 50), according to the circular of Civil Service Commission No. 20/2008, dated 16/4/2008, and (KD 50/-) salary increase for non-Kuwaitis.