QU Research Handbook

"Guidelines to QU Research Policies and Procedures"

Office of Academic Research

Prepared by:

The Research Policies and Procedures Committee

Version 7.14

Web address for this policy:
http://www.qu.edu.qa/offices/research/academic/policies_procedures.php

Introduction

Qatar University, represented by its Office of Vice President for Research, has set, as part of its mission, to promote and strengthen research activity in the University in order to achieve excellence in research. Research activities should serve a legitimate purpose and be consistent with the University's mission and the national requirements. Achieving such goals requires research policies, as well as ethical rules and regulations to ensure that researchers comply with generally accepted scientific principles and refrain from unacceptable practices.

Disclaimer

This research handbook is intended to support the University's missions and the content of this handbook is for public view. However, the material published in the handbook is copyright the Office of the VP for Research and may not be reproduced without permission.

Preamble:

This part of the document lists Qatar University research policies and procedures related to:

1. Budget and Finance
2. Proposal Submission and Award Management
3. Research Personnel Policies
4. Research Travel Policies
5. Research Procurement

The following acronyms are used throughout the document:

QU: Qatar University

University: Qatar University

PI: Principal Investigator

VP Research: Vice President for Research

OAR: Office of Academic Research

HR: Human Resources

PAF: Personnel Action Form

REC: Research Ethics Committee

RT-Permit: Research Travel Permit Form

RT-Reimburse: Research Travel Reimbursement Form

ICH: Instructor Credit Hours

Finance Department: Finance Department Projects, Grants, and Contracts Section

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PL-RESEARCH-001: Budget and Finance Policies

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	Reviewed by EMC on: September 30, 2014
	Approved by the President on October 10, 2014

Policy Description

This section defines the financial policy and procedures for the university's research

Who Should Know This Policy

☑☑ President
☑☑ Vice President
☑☑ Legal Advisor
☑☑ Dean/Director/Director
☑☑ Director/ Departmental Head
☑☑ Faculty
☑☑ Accounting/ Finance Personnel
☑☑ Student
☑☑ All Employees

1.1. Introduction

Qatar University referred to as "QU" or as "the University" is increasingly relying on the development of adequate compliance programs for the financial administration of awards (contracts and grants). An adequate compliance program includes identifying QU officials responsible for overseeing financial compliance, and ensuring individuals are identified and compliance is incorporated into each level of the award process. Clear identification of the responsibilities for financial grants and contracts administration at the University is integral to a system of internal control and compliance.

1.2. Scope

These guidelines establish the requirements for the financial responsibilities related to the QU's contractual and regulatory compliance with the awards. The guidelines identify and establish the financial team who provides the fiscal oversight, guidance, control, compliance and consistency for the financial management of awards. The guidelines also establish the financial responsibility of each of the members of the financial team.

A sponsored agreement is awarded to the University, rather than to a specific principal investigator (PI) or QU department. Accordingly, acceptance of such an award implies that QU will comply with all the contractual and regulatory financial terms and conditions of the award. Consequences of non-compliance, if material, can be harsh and could result in denying the PI future funding and might cause negative publicity for the University.

Research policies and procedures related to budget and financial issues cover the following:
- PI compliance responsibilities
- Research accounts
- Research budgets and budget transfer
- Indirect cost

1.3. PI Responsibilities and Compliance with Requirements

The PI is the ultimate person responsible for the sound technical, fiscal, and administrative management of the project in accordance with all applicable QU, sponsor, and government requirements.

Responsibilities of the principal investigator include:

- Ensuring that all expenditures are made for the direct benefit of the award/project and in compliance with sponsor requirements and QU policies and procedures;
- Ensuring that the budget approved by the sponsor is not exceeded;

- Reviewing financial statements of the award/project at least every three months to ensure correctness of all expenditures.
- Ensuring technical reports and other non-fiscal reports (progress and final report) are properly submitted to the sponsor on a timely basis;
- Ensuring that time effort of project personnel is properly recorded.

1.4. Audits and Record Management

- Research grants and contracts are subject to internal and external audits;
- QU record management policy (retention, destruction, confidentiality, etc.) applies to research grants and contracts.

1.5. Research Accounts

- A separate account will be established for every new award/project (internal or external). The PI will be the budget holder;
- Every PI shall receive updated financial reports of his/her budget at least every six months (or more frequent if needed and requested by PI) and is expected to review the financial statement, report and/or correct any unallowable or over expenditures promptly;
- Office of Academic Research (OAR) gets quarterly reports on all the research budgets;

1.6. Research Budget

- The budget distribution must be in compliance with the approved budget.
- Once established at the Oracle Grants Application by OAR, expenditures within each category must remain within the budget unless a budget transfer is made.
- The Budget uploaded by OAR should reflect the sponsor approved budget,
- Finance will work closely with OAR to ensure that the spending is according to the uploaded budget.
- The PI is the Account Manager and is responsible for ensuring that all expenditures are reasonable, allocable, allowable and to the direct benefit of the grant/contract under the terms of the award, and that the account remains within the approved budget.

1.7. Budget Transfer

- The PI should request any budget reallocation or budget line items change through OAR.
- The OAR will determine whether or not the University has the authority to reallocate the funds, and, if not it will seek the sponsor's approval.
- OAR can only approve fund transfers if they are in compliance with the terms of the award.
- The PI must provide justification for the fund transfer in his/her request. Transfers strictly to spend funds remaining in the account are not justified.

- When the transfer is approved, OAR will update the changes and send notification to the finance department.
- Expenses may not be charged against the anticipated funds transfer until the fund-reallocation has been completed and approved.

1.8. Over-Expenditures and Disallowances

The PI must work closely with the Finance Department to correct any over expenditures or disallowances within 90 days after they have occurred but not later than the termination date of the award. QU may elect to charge the over-expenditure against the PI's personal account if overspending was shown to have been deliberate.

1.9. Petty Cash (QR 0 – QR 5,000)

Petty Cash is only allowed on awards/projects to cover purchases under the miscellaneous line item budget already included the approved budget. The PI should request petty cash from the Finance Department and is responsible for maintain and management of this fund.

Purchases through the use of petty cash shall be <u>done directly by the project PI or authorized project personnel</u>. The petty cash purchases can be done from the local or international suppliers. Petty cash purchases will only be approved for items urgently needed especially for those projects that involve fieldwork.

Purchases should not be more than QR 5,000 and the procured items are not divided to by-pass the policy. The project PI prepares a list of needed items in coordination with the Finance department. The PI shall settle the petty cash with the Finance Department on monthly basis and at the latest 30 days before the termination date of the award/project. No further petty cash advances will be approved before settling the previous petty cash payment.

- The PI is the custodian of the Petty Cash Fund and must ensure that:
    - The fund is kept separate from any other funds;
    - Effective documentation is maintained and that regular cash counts are conducted as this will be subject to scheduled and unscheduled audit;
    - The fund is maintained with adequate security;
    - Original receipts are available to support all expenditures from the fund. Original receipts must be submitted at the time of reconciliation.
    - Reconciliation should be done within a month of expenditures. All reconciliations must be finalized 60 days before the termination date of the award.
- The Director of Internal Audit or designee shall conduct periodic audits of the Petty Cash Fund and its administration.
- Petty cash may not be used for, but not limited to:
    - Purchase of supplies costing more than QR 5,000 (Invoice splitting is not permitted);
    - Travel Expenses, except for local conveyance (taxi fare);

- o Any items for personal use;
- o Research project personnel and technical consultants payment;
- o Personal loans or salary advances.

1.10. Advanced Cash (QR 0 – QR 15,000)

Purchases through the use of advanced cash shall be <u>done directly by the project PI or authorized project personnel</u>. Advanced cash shall be used to purchase items in line with project budget with value less than or equal to QR 15,000. Pre-approval of OAR is required.

Periodic internal audits of the Advanced Cash Fund and its administration will be conducted. The PI is the custodian of the Advanced Cash Fund and must ensure that:
- o The Advanced Cash fund is kept separate from any other funds;
- o Effective documentation is maintained and that regular cash counts are conducted. These may be subject to scheduled or unscheduled audit;
- o Adequate security is maintained and, when not in use, the amount is kept in a locked compartment/ receptacle or safe;
- o Original receipts must support all expenditures from the fund; and must be submitted at the time of reconciliation;
- o The funds must be spent within the approved and available budget.
- o Reconciliation should be done within a month of expenditures. All reconciliations must be finalized 60 days before the termination date of the award.
- o If equipment is purchased on using Advance Cash Fund, a proof that the purchased item is tagged using the University inventory system is required at the time of reconciliation.

Advanced cash may not be used for, but not limited to:
- Any items for personal use;
- Research project personnel and technical consultants payment ; or
- Personal loans or salary advances.

1.11. . Purchase Card (QR 0 – QR 50,000)

A Purchasing-Card (P-Card) may be granted to the PI if, at the time of request, the period remaining of the award/project is more than one year. The limit of the P-Card is QR 50,000/month with each transaction not exceeding QR 10,000.

Purchases using the P-Card shall be done directly by the project PI or authorized project personnel. P-Card shall be used to purchase items in line with project budget with value less than or equal to QR 10,000.

The PI is the holder of the P-Card and must ensure that:
- o Original receipts must be available to support all expenditures from the fund; and must be submitted to the Finance Department at the end of every month;
- o Expenditures must be in line with the approved and available budget.

The Purchasing-Card must be returned 60 days before the termination date of the award. The Director of Internal Audit or designee shall periodically audit the Cash Fund and its administration.

Purchasing-Cards may not be used for, but not limited to:
- o Purchase of supplies costing more than QR 10,000 QAR (invoice splitting is not permitted) unless otherwise pre-approved by OAR;
- o Any items for personal use;
- o Payments to research project personnel and technical consultants
- o Personal loans or salary advances.

Purchasing-Card transactions are not reflected directly in the financial expense reports, the PI is therefore responsible for avoiding any overspending.

1.12. . Direct and Indirect Cost

The total cost of a sponsored project consists of direct costs and indirect costs. Direct costs are those expenditures that can clearly and specifically be identified and are necessary for the implementation of a particular sponsored project or activity (such as research personnel, equipment, and travel). Indirect costs are those costs incurred in support of many activities, the portion pertaining to the project is difficult to determine (such as secretarial assistance, utilities, rent, facilities, insurance, etc.).

The direct cost can include any or all of the following:
- Personnel
- Fringe Benefits
- Graduate Research Assistants
- Tuition Remission
- Equipment
- Travel
- Trainee Support Costs
- Materials and Supplies
- Consultant Services
- Sub-contracts/Sub-awards
- Rental of Off-Site Facilities
- Alterations and Renovations
- Other Services (such as publication costs, media costs, dissemination costs, etc.…)

The University charges indirect cost on external research programs by applying an *indirect cost rate* negotiated and agreed upon with the sponsor at the pre-award phase.

The negotiation of the rate should be based on the rate calculated by the finance department.
- Exemption, or reduction of, the indirect cost can be done with a written approval of the VP for Research.

- The cost share of the indirect cost must be approved by the VP for research and related college/center or department recovering the indirect cost.

1.13. . Computing and Applying the Indirect Cost Rate

The Finance Department will calculate the rate by applying the indirect cost rate to the *modified direct costs* (MDC) of the project.

The MDC is used as a base for applying the indirect cost rate. The following defines the components of the MDC:
- The MDC includes salaries, allowances, wages, fringe benefits, and material, supplies, services, travel, and training related expenses.
- The MDC excludes equipment, capital expenditures, tuition remission, and rental of offsite facilities, scholarships, and subcontracts.
- Computing the indirect cost is the responsibility of the QU Finance Department.
- The University has the two different indirect cost rates:
  - Indirect cost rate for *on-campus research*
  - Indirect cost rate for *off-campus research*
- Applying the off-campus indirect cost requires a written approval of the Director of Academic Research.
- Exemption from, reduction, or applying flat rate of, the indirect cost can be done with a written approval of the VP for Research.

1.14. Distribution of Indirect Cost for External Grants and Contracts

I.   50% of the indirect cost goes to the University research account. 30% of the 50% managed by the Director of the Office of Academic Research to support research administration at the university. 20% of 50% managed by the Director of Finance to support research administration at the university.
The VP for Research shall be authorized to take over and manage the sums enumerated in item "I" above. The VP for Research shall be authorized to supersede the Director of the Office of Academic Research and Director of Finance as mentioned in item "I" above.

II. 20% of the indirect cost for a specific project goes to discretionary accounts for the college/center receiving the award, managed by the Dean/Director of the relevant college/center to support research activities at the college/center.

III. 15% of the indirect cost for a specific project goes to discretionary accounts for the department receiving the award, managed by the chair of the relevant department to support research activities at the department.
The VP for Academic shall be authorized to take over and manage the sums enumerated in items II and III above. The VP for Academic shall be authorized to supersede the Dean/Director and Head of Department as mentioned in items II and III above.

VI. 15% of the indirect cost for a specific project goes to discretionary accounts managed by the project PI, managed by the PI during his employment at Qatar University. The sums shall be used to support the research activities. The PI shall not be authorized to utilize the funds for personal purposes. In the event that the PI ceases to work for Qatar University before this portion of the indirect costs have been spent, then the remaining amounts shall be transferred to Qatar University's research account.

1.15. Research - Related Expenditures made on Recovered Indirect Cost for the PI

The PI is eligible to receive 15% of the recovered indirect cost on his/her award/project. The fund will be placed in a separate account and will be under the discretion of the PI as long as s/he is affiliated with QU.

All expenditures must be in support of PI's research activities but cannot include personal salary. Expense requests must be approved by OAR.

PL-RESEARCH-002: Proposal Submission and Award Management

Contents:	Version Number: 7.13
▪▪ Policy Description ▪▪ Who Should Know This Policy ▪▪ Policy Sections	
	Reviewed by EMC on: September 30, 2014
	Approved by the President on October 10, 2014

Policy Description

This section defines the policy and its procedures for proposal submission and award management

Who Should Know This Policy

☑☑ President
☑☑ Vice President
☑☑ Legal Advisor
☑☑ Dean/Director
☑☑ Director/ Departmental Head
☑☑ Faculty
☑☑ Accounting/ Finance Personnel
☑☑ Student
☑☑ All Employees

2.1   Introduction

This Proposal Submission & Award Policies & Procedures Guide governs the submission of externally or internally funded grants and contracts. It also establishes the roles and responsibilities for managing funded agreements.

2.2   Proposal Submission

The PI must complete the proposal, budget, and Proposal Transmittal Form before circulating the grant application for signatures and prior to proposal submission to funding agencies.

2.3   Transmittal form

The Proposal Transmittal form is a checklist and a routing/signature form (for external grants) that records key information about the proposal. A few issues to be considered regarding the transmittal form:
- The PI must ensure that all the required approvals are obtained from the relevant departments for the employment of QU personnel;
- The PI must indicate on the Proposal Transmittal Form that the proposal is in compliance with the institutional and funding agency policies and guidelines;
- The PI must clearly indicate any special requirements such as space alteration, space additions, or matching funds;
- The submitted Proposal Transmittal Forms shall be maintained by OAR.

2.4   Signing the Transmittal Form

The Proposal Transmittal Form must be signed by the following persons:
- The PI and any co-investigators named on the proposal;
- The department head and Dean/Director of the PI faculty and KIs contributing time to the project;
- In case of any special requirements, signature from all relevant departments must be obtained;
- OAR will provide final review and affix the official institutional signature on the Proposal Transmittal Form and the grant application itself for all proposals.

2.5   Head of Department's Review

The head of department reviews the proposals in order to ensure that:

- The proposed activity will not interfere with the department's ability to meet its main responsibilities;
- Adequate space is available and can be dedicated to the project;
- The proposed activity will not interfere with the PI's ability to meet his/her main responsibilities;
- Salary arrangements for academic or summer support and personnel (release time and summer salary) are reasonable and acceptable. Personnel effort cannot add up to more than 100% for all activities— research, teaching, and service.

The PI's head of department should also verify that:
- The PI and the department have the ability to carry out the project successfully;
- The personnel and facilities for the needed activities based upon the budget and budget narrative, are adequate and meet departmental guidelines.

The head of department approval constitutes an endorsement of the proposal in its entirety.

2.6   Dean/Director's Review

The Dean/Director acts upon the recommendation of the department head regarding the use of space and facilities. The Dean/Director's review and endorsement determine:
- Whether the proposed activity interferes with the college/center's ability to meet its main responsibilities;.
- Whether the college/center can accommodate the present and future personnel's budget and salary in case of cost sharing;.
- Whether the college/center and department will be able to meet the obligations assumed by QU at the end of the grant period.

2.7   Proposal Signing Authority

All proposals, whether in soft or hard-copy, must be reviewed and approved by OAR before final submission.

Only following persons are authorized to sign the proposals on behalf of QU:
- VP for Research; or
- Director of OAR.

QU's PIs are not authorized to submit their proposals directly to the funding agencies even when such submittal may be authorized by the funding agencies.

All PIs are required to obtain OAR's approval before submitting proposals to the funding agencies.

This requirement serves to ensure that all internally or externally funded research activities conducted by QU employees, or through the use of QU resources or

facilities, are approved by OAR for compliance with relevant QU and government guidelines, policies, and regulations. These include, but are not limited to, the following:

- Adherence to all relevant policies;
- Responsible conduct of research policies, including research integrity, misconduct, conflict of interest, and intellectual property;
- Protection of human and animal subjects;
- Protection of the environment; and
- Fiscal accountability, including recovery of direct and indirect costs.

2.8   OAR Submission Deadline

A copy of the proposal and a completed Proposal transmittal form signed by all parties must be forwarded to OAR's approval at least five working days before the submission deadline. Researchers must ensure that the submitted proposal is complete and accurate and to seek OAR's approval well in advance of the deadline in order to avoid any last minute discrepancies.

OAR cannot guarantee that the proposal will be processed in time if the deadline is not met. Soft copies of the proposals are also acceptable.

2.9   OAR Review

OAR will review the following (including but not limited to) in able to determine:
- Whether the final budget is accurate and whether the indirect cost rates and fringe benefits have been included and calculated accurately;
- Whether the budget justification and other parts of the proposal conform to QU and agency policies;
- Whether any QU matching funds are cited in the budget justification or in the proposal narrative (such as the resources page);
- Whether the transmittal form has been completed correctly and whether it has been duly signed;
- Whether the proposal is in line with the funding agency's guidelines.

2.10 OAR Approval to Submit

The VP for Research and the OAR director, or their authorized representatives will sign the approved proposal transmittal form.

For electronic proposal submissions, by signing the transmittal form, OAR authorizes the PI to electronically submit the proposal. The original approved transmittal form is kept in OAR. Copies are sent to the PI, co-PI and his/her college/center.

2.11 Award Acceptance and Negotiation

When an award notice is received from the funding agency, OAR will review the notice to ensure that the terms and conditions of the award agreement are acceptable to QU. In general, OAR will not accept an award unless its content is as specified in the original or revised proposal.

Awards which are accepted but with a change in the content of the submitted proposal and budget will be subject to negotiation and revision before the award is finalized. When the funding agency decides to support a project, it may fund the project at a different level from that requested. It may also request some changes in the proposed work or in the services to be provided in the project. In this case OAR, in cooperation with the PI, will negotiate the terms and level of funding. Once the award agreement is finalized and the award is processed, OAR will create an account on the Oracle module and will notify the Finance Department.

2.12 OAR Responsibilities

All awards and projects agreements are officially negotiated by the University, and not by the individual researchers. When a PI or QU official receives notification of a grant award, OAR must be contacted. OAR is the only authorized body that can negotiate award agreements, including the proposed budget, with the funding agencies, and can sign agreements and contracts on behalf of QU.

OAR is also responsible for:
- Approval of proposals and proposal budgets;
- Setting up of the grant accounts on the Oracle Grants Module (OGA);
- All administrative aspects of the awards/projects management;
- Liaising with funding agencies;
- Requesting and implementing budget reallocation and no-cost extensions;
- Submitting interim and final narrative and financial reports. requesting no-cost extensions or budget reallocation.

2.13 OAR College/center Representatives

OAR will have staff representatives for college/centers. These representatives will be responsible for providing administrative assistance on awards in their assigned college/centers. Examples of the responsibilities of these staff members include preparing orders, filling out required personnel forms, and making grant travel arrangements. They are not responsible for any tasks directly related to the project research tasks and activities such as, copying research papers, preparing power point slides, typing research papers, etc.

2.14 Finance Department Responsibilities

The University's Finance Department is responsible for:

- Implementing, and maintaining the budget for the account in accordance with the approved award budget;
- Billing the funding agency;
- Guaranteeing that spending does not exceed allocated budgets;
- Facilitating grants Financial audit;
- Submitting timely required fiscal reporting to OAR to communicate the reports to the funding agency. This includes interim and final financial reports.
- Managing the financial aspects of Sub-award Agreements, if any.
- Monitoring the award budgets.

2.15 Related Forms Summary

Proposal Transmittal Form: This form is a checklist and a routing/signature form that records key information about the proposal. This form ensures that all the required proposal approvals and signatures have been secured before a proposal is submitted. This form would also portray any potential conflict of interest issues or any special requirements regarding the proposal.

Conflict of Interest Disclosure Form: This form is submitted by the PI or a senior research personnel member before engaging in an activity which may conflict with a personal interest. This form should be approved by the department head, the college/center Dean/Director (or unit director), and the director of OAR.

PL-RESEARCH-003: Research Personnel Policies

Contents:	Version Number: 1.0
▪ Policy Description ▪ Who Should Know This Policy ▪ Policy Sections	**Reviewed by EMC on: September 30, 2014**
	Approved by the President on October 10, 2014

Policy Description

This section defines the policy and its procedures for research personnel

Who Should Know This Policy

☑☑ President
☑☑ Vice President
☑☑ Legal Advisor
☑☑ Dean/Director
☑☑ Director/ Departmental Head
☑☑ Faculty
☑☑ Accounting/ Finance Personnel
☑☑ Student
☑☑ All Employees

3.1   Introduction

This research personnel policy is informational and does not constitute an employment contract. Further, the provisions of this personnel policy are not conditions of employment and may be modified, revoked, or changed at any time by QU with or without notice.

3.2   Conflict of interest

No employee of QU working on an external or internal grant or contract is allowed to have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction or professional activity or incur any obligation of any nature, which is in conflict with the proper discharge of his/her duties at QU. Examples of cases of conflict of interest are:

- Hiring relatives or friends;
- Engaging in activities which conflict with their QU duties;
- Engaging in any transaction with any business entity in which he/she has a direct or indirect financial interest; and
- Using QU research or administrative facilities to pursue personal business or commercial consulting activities.

Potential conflict of interest issues can be avoided by prior submission of a Conflict Of Interest (COI) disclosure form. This form must be approved by the department head, college/center Dean/Director (or unit director), and the director of OAR.

3.3   General Guidelines

- The PI is responsible for staffing sponsored projects from proposal/budget, hiring, submitting personnel recruitment forms, supervising, and terminating employees.
- All actions must comply with QU's human resources policies and procedures.
- Hiring of personnel on sponsored project is contingent upon the availability of funds. Appointments do not guarantee future employment with QU, nor do they infer a long-term employer-employee relationship.
- All personnel hired specifically to work on sponsored projects must be notified at the time of hiring that their services will be terminated at the completion of the project or in the event of cancellation of the project. The PI is responsible for all appointment related notifications.
- Personnel appointments on a sponsored project must not exceed the period of performance and funding of the agreement. The length of the appointment may be extended if approval has been granted for moving the appointment to another active award grant.

3.4   PI Eligibility

When external funds are awarded to QU, the University must comply with all sponsored project activity requirements. The University has limited control over the actions of non-QU employees. Therefore, in order to ensure accountability, all University PIs must meet the following eligibility requirements:

- Full time, non-visiting faculty member are eligible to serve as PI on a sponsored project.
- Other University employees may serve as PIs with the approval of their authorizing department chair and college/center Dean/Director or equivalents (e.g., director or vice president).
- A QU affiliated individual who is not a full time employee (e.g., student, postdoctoral appointee, adjunct or visiting faculty, or temporary employee) can serve as the PI of an externally sponsored project only if the project lists another PI-eligible University employee as an investigator. A student who applies for a funding program that explicitly requires the student to be the applicant (e.g. scholarship and fellowship programs), is exempted from this requirement and can, therefore, serve as the PI on the project.

3.5   Titles of Research Employees

Please refer to the HR policy.

3.6   Types of Research Personnel

There are two general categories of research personnel; those who are presently employed by QU and those who are not presently employed by QU.

- ***Research personnel not presently employed by QU*** can belong to one of the following subcategories:
  a. <u>Part-time employee</u>: A non-QU employee must be located in Qatar for a percentage of time equivalent to the part-time percentage. A part-time employee who spends 50% or less of his/her time on the funded program does not get fringe benefits. A part-time employee who spends more than 50% of his/her time on a funded program is eligible to receive fringe benefits proportional to his/her time spent on the program.
  b. <u>Full-time employee</u>: A non-QU must physically be located in Qatar. A full-time research employee gets full fringe benefits and is considered a regular QU employee whose contract ends when the funding for the position ends.
  c. <u>Student employee</u>: A QU who is hired on a sponsored project. Student employees do not receive the standard fringe benefits (see the section on Research Assistants).
  d. <u>Consultant</u>: Hired for a short period in order to perform a specific funded project task (QU employees cannot act as consultants for other QU faculty grants).

- ***Presently employed faculty and staff*** can generally be compensated through one of the following methods:

a. Faculty Buy-Outs
b. Daily allowance for working under harsh conditions

Full-time employees are hired using the standard QU Human Resources (HR) forms and procedures. Part-time employees, consultants, students, and employees requesting overtime payment are hired by submitting a Permission to Hire Form, which should be submitted before hiring. Whenever a payment is to be requested, a Personnel Action Form must be submitted with a Timesheet Form.

3.7 Compensation Rates

- Salary rates for personnel employed on sponsored projects must be consistent with sponsor guidelines and QU's standards for similar positions.
- Full time employees appointed to sponsored projects receive the same fringe benefits as similar positions within QU.

3.8 Faculty Buy-Outs

The goal of this policy is to encourage research faculty, and to provide departments with sufficient resources.

Faculty members may be allowed to use grant funds to buy out part of her or his teaching load with the department head's or college/center Dean/Director's approval of the grant proposal before the grant is submitted. Department heads and faculty members must consider the timing of the course buy-outs carefully if the faculty member's expertise is of critical importance to the program during the semester for which the buy-out is requested. The faculty member receiving the grant and the department head need to consider both the needs of the department and the requirements of the grant in determining the number of courses that can be bought out during a semester or during an academic year.

Here it is assumed that the annual teaching workload for a faculty member is 18 ICH, distributed over two semesters. The buy out rate for N ICH per academic year is [(Weighting Factor x N)/18] of the annual academic basic salary (nine months)[*].

Rank	Weighting Factor
Professor	1.3
Associate Professor	1.4
Assistant Professor	1.5

All funds should transfer to the department in charge.
Arrangements that differ from the above must be approved, in writing, by the Vice President and Chief Academic Officer.

3.9   Daily Allowance for Working under Harsh Conditions

Certain research tasks require working under severe or harsh conditions such as collecting data from an isolated island in the midst of hot summer or gathering samples from the bottom of the sea in mid-winter. In such cases hardship compensation will be provided.

It is the responsibility of the PI to clearly state such compensation package in the proposal with the written approval of the Office of Academic Research.

3.10   Research Personnel Evaluation

Faculty and teaching staff may request that the percentage covering research of their annual evaluation system is increased by the percentage of time (release time) they are getting from sponsored projects.

3.10   Research Personnel Forms Summary

Conflict of Interest Disclosure Form: This form is submitted by the PI or a senior research personnel member before engaging in a project. This form must be approved by the department head, college/center Dean/Director (or unit director), and the Vice President for Research.

Personnel Action Form (QU Academic Employee): This form is typically filled on annul basis by research personnel who are presently employed to show the allocation of efforts between University responsibilities and sponsored project responsibilities. The PAF requires the approval of the department chair and college/center Dean/Director or equivalents (e.g., director or vice president).

Permission to Hire Form: This form is used for research personnel paid on hourly/daily basis and/or monthly basis. This includes consultants, part-time research personnel, and students. The form must be submitted before hiring a person. If the person is presently hired by QU, the form must be approved by the head of the unit where the person is working.

Personnel Action Form: This form is used for research personnel paid on an hourly/daily basis and/or monthly basis. This includes consultants, part-time research personnel, and students. This form must be submitted with a time sheet. The form must be submitted every time a person is to be paid (typically on bi-weekly or monthly basis).

Timesheet Form: Maintained and filled by the person hired on an hourly/daily basis. The form must be signed and approved by the employee's direct supervisor. A timesheet form covering the payment period must be attached to the Request for Paying Research Support Personnel Form.

PL-RESEARCH-004: Research Travel Policy

Contents:	Version Number: 1.0
▪ Policy Description ▪ Who Should Know This Policy ▪ Policy Sections	**Reviewed by EMC on: September 30, 2014**
	Approved by the President on October 10, 2014

Policy Description

This section defines the policy and its procedures for travel using awarded grant funds.

Who Should Know This Policy

☑☑ President
☑☑ Vice President
☑☑ Legal Advisor
☑☑ Dean/Director
☑☑ Director/Departmental Head
☑☑ Faculty
☑☑ Accounting/Finance Personnel
☑☑ Student
☑☑ All Employees

4.1 Introduction

Qatar University will reimburse the costs of travel incurred by University personnel and visitors (whose related travel expenses are covered by the University), wholly and necessarily in the course of the University's business through research grants and contacts, in accordance with the procedures that have been established by the University. Travelers on research awards are responsible for the appropriate use of, and accurate accounting for, travel funds provided to them and for compliance with sponsor and QU travel requirements.

Travelers are expected to travel by the method most conducive to achieving the objectives of the trip while balancing cost, time, and safety. QU, in return, will reimburse the actual cost of authorized travel expense related to research incurred by a faculty member, staff and, in special cases, students or other persons. This policy covers all types of research-award travel including:

- o Presenting accepted research in conferences and workshops
- o Other travel types like training, meetings, field trips, collecting data, research consultants and visitors, etc.

4.2 Non-reimbursable Costs

The following travel costs are not reimbursable by QU

- Fines for traffic violations, illegal parking, or speeding
- Personal items purchased due to lost/delayed baggage
- Nonrefundable airline tickets if a trip is cancelled

4.3 Research Travel Permit (RT-Permit) Form

- The traveler or PI should typically fill and submit the RT-Permit form at least two weeks before any travel.
- On the form the traveler or PI needs to justify the travel. Relevant supporting documents (e.g., invitation letters, email communications, etc.) should be attached to the RT-Permit form.
- The RT-Permit form should be approved by the traveler's department head and college/center Dean/Director. It should also be approved by the OAR to make sure that enough travel funds are available to cover the trip.
- After approving the RT-Permit form, the original approved form is sent by the OAR to Human Resources.
- HR should forward three copies of the approved form to the
  - o traveler
  - o traveler's department
  - o project PI (if different than the traveler)

4.4 Research   Travel   Reimbursement   (RT-Reimburse) Form

Research Travel for key investigators affiliated with Qatar University demands the following:

- Research Travel Permit Form: This form should be submitted a minimum of two weeks and a maximum of two months ahead of the travel date
- Travel Reimbursement Form: Travel reimbursement could be either through Per Diem Allowance or through submission of original receipts. In any of the above cases, the traveler must submit authentic travel receipts upon his/her return from the trip along with a Travel Reimbursement Form.

Eligible Air flight Tickets:

- Non-Stop (stopover for more than 24 hours in the way to the destination is not permitted)
- QU faculty member may fly business class. Ticket may reconcile based on submitted original receipt or based on Qatar Airways rates considered by OAR.
- Research support team (Post-Doc, Research Assistant, students...etc.) are supported to fly economy class unless otherwise approved by OAR

Research Travel for Key Investigators or research support team not affiliated to Qatar University demands the following:

- Research Travel Permit Form: This form should be submitted a minimum of two weeks and a maximum of two months ahead of the travel date
- Travel Reimbursement Form: Travel reimbursement could be either through Per Diem Allowance or through submission of original receipts. In any of the above cases, the traveler must submit authentic travel receipts upon his/her return from the trip along with a Travel Reimbursement Form.
- Per Diem QAR 1,500 "lump sum with no breakdown"

Eligible Air flight Tickets:

- Non-Stop (stopover for more than 24 hours in the way to the destination is not permitted)
- Authorized travel class is economy (written approval from OAR is required for flying business class)

- Qatari Faculty members traveling on external or internal grants the new HR travel policy for Qatari will be applied.

All expenses should be within the budget allocated for the trip.

4.5 Travel Cash Advance

The traveler can request cash advance for an approved trip. The maximum cash advance allowed is 70% of the total estimated cost of the trip specified in the RT-Permit form. The remaining balance will be paid upon return from travel by submitting the RT-Reimburse form.

4.6 Per Diem Allowance for Scientific Mission:

- In the case of travel for a conference/workshop, HR policy is applicable.
- Travel for a scientific mission is calculated according to the following Per Diem allowance:

  I.   Per Diem for an External Grant Scientific Mission (Excluding UREP) is set at QAR 2,500 "lump sum with no breakdown" for the first 7 days after which the Per Diem will be reduced to QAR 1,250.

  II. Any travel exceeding 7 days is subject to OAR approval.

  III. Per Diem for travel on UREP grants is set at QAR 1,500 "lump sum with no breakdown" for QU regular faculty members and students. Per diem for research support team (Post-Doc, Research Assistant, students...etc.) on other external grants is set at QAR 1,500 "lump sum with no breakdown".

Travel Time Allowance*	
Out---of---Qatar	
Duration of Flight	**Travel Days off**
Flight of 7 hours or less (Return)	Two days (Total)
Flight of more than 7 hours (Return)	Four days (Total)

- Travel for a scientific mission using internal grants funds, conference/workshop packages will be applied

PL-RESEARCH-005: Grants And Contracts Research Procurement Policies

Contents: ▪ Policy Description ▪ Who Should Know This Policy ▪ Policy Sections	Version Number: 1.0
	Reviewed by EMC on: September 30, 2014
	Approved by the President on October 10, 2014

Policy Description

This section defines the external research award procurement policies

Who Should Know This Policy

☑☑ President

☑☑ Vice President

☑☑ Legal Advisor

☑☑ Dean/Director

☑☑ Director/Departmental Head

☑☑ Faculty

☑☑ Accounting/Finance Personnel

☑☑ Student

☑☑ All Employees

5.1   Introduction

This section supersedes the QU Procurement Policies and Procedures. This policy only applies to external research award procurement. For definitions of terms and terminology, and for detailed description of the standard QU procurement policies, refer to QU procurement policies and procedures. Any procurement related issues, which are not covered under this Policy, shall be governed under QU Procurement Policies and Procedures.

Procurement Department shall be responsible for the procurement of material, supplies, services, capital equipment and/or assets. The Procurement Department shall use good procurement methods for cost savings, acquisition of quality products, and managing good relationship with supplier. The objectives of Procurement Department are:
- To acquire supplies and services required for the University at the time and place needed in the appropriate quantity and quality;
- To secure such supplies and services at the lowest possible cost while establishing and maintaining a reputation for fairness and integrity;
- Economic delivery of purchased material; and
- Effective planning through appropriate methods and procedures.

Procurement Director must ensure that all purchase acquisitions, purchase orders and tenders comply with the standard terms and conditions reviewed and approved by QU's Legal Counsel.

5.2   Correspondence with Suppliers

The PI is not allowed to procure items directly. All procurement must be done centrally though the Procurement Department. This does not apply to purchases done using petty cash or advanced cash. Arrangements that differ from the above must be approved, in writing, by the Vice President for Research.

The Procurement Department must verify and conclude all negotiations concerning prices and terms of all actual and planned purchases. Further, the Procurement Department shall conduct all correspondence pertaining to a purchase order involving:
- Prices
- Terms and conditions
- Delivery date
- Delivery location
- Quantity
- Substitutions
- Complaints

5.3   Research Procurement Specification Considerations

The requesting PI must inform the Procurement Department concerning the required specification of the items requested. The requesting PI must clearly

specify the requirements (including but not limited to, the need for information, operation and maintenance manuals, quality certificates, samples, and training). The Procurement Department must assist PIs list the specifications if necessary.

The PI makes the final decision regarding the specifications of the item/service. It is expected that the specification satisfy current and foreseeable uses of the items/services requested.

5.4 **Procurement Committee:**

The Procurement Committee shall be responsible for ensuring that all the procurement procedures are followed and that the best offer is selected.

For procurement from sponsored programs, the Procurement Committee consists of the following members:
   o   Director, Procurement (Chairperson of the Committee).;
   o   Representative from VP for Research office; and
   o   Project PI.

The CFO must approve the decisions/recommendations of the Purchasing Committee before they become final and a bid or a purchase is awarded.

5.5   **Authorities**

All procurement procedures must be initiated only on receipt of an authorized purchase request. The PI must authorize and approve all purchase requests from research budgets irrespective of the expected value of the purchase.