

UNIVERSITY OF NIZWA



Research Policy and Regulations

**Office of the Vice Chancellor for Graduate
Studies, Research and International Relations**

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Research Policy and Regulations

1. Introduction

Research is the process through which new knowledge is acquired. The University of Nizwa is concerned with scientific research as a part of its mission. The charter indicates clearly and strongly the importance of research as a tool to enhance intellectual capabilities and find solutions to various emerging problems facing Omani society in particular and other societies in general. Research is also necessary as a support for teaching and training of the students.

The Vice-Chancellor for Research, Graduate Studies and External Relations (VCRGSER) is the authority responsible for managing scientific research at the university according to the approved by-laws and the present policy and regulations.

All academic and technical staff are expected and encouraged to engage in research as part of their assignment each in his/her area of expertise. Research activities should be consistent with the scholarly norms and not to contravene with the ethics of the Omani society.

It is expected that the university will establish a number of research centers under the Deanship of Graduate Studies and Research to address particular areas of relevant problems to the country. The university will also establish an centre of consultancy to support research work and contribute to strengthening links with the society and utilization of expertise and research results.

Research progress will also involve students through basic investigative work in form of graduation projects, training in the fields of data collection, compilation, analysis and report writing. This component will strengthen the students' practical capabilities and understanding of fundamental facts and problem solving.

2. Management Structure of Scientific Research

Research Project(s) are undertaken by academic Staff members / qualified researchers at the college/department level or by specialized staff at the research centers. Joint research with researchers outside the University of Nizwa will be encouraged through individual contacts and through cooperation agreements. University of Nizwa has cooperation agreements, MOU's with many higher institutions in Oman and worldwide

Research projects may be funded or non funded. Funded projects are those that are either completely or partially funded by the University of Nizwa as specified in the approved budget. Completely funded projects are those for which all aspects of the research (including overheads, expendables, time allocation for research etc), whereas partially funded projects are those for which only some part of the research project is being funded by the university (example only overhead and time allocation may be requested by the principal investigator) Non funded projects are zero budget projects. While one would expect such cases to be rare (as this would imply not even overhead is supporting the project), this possibility is allowed for. However, regardless of the degree of funding, for a research project to contribute towards the performance evaluation of a faculty member, a research project must be approved by the University of Nizwa. Hence, even proposals of zero budget projects should be submitted.

The management span of scientific research involves different units in the university as per the following charts.

Time Frame

Responsibilities

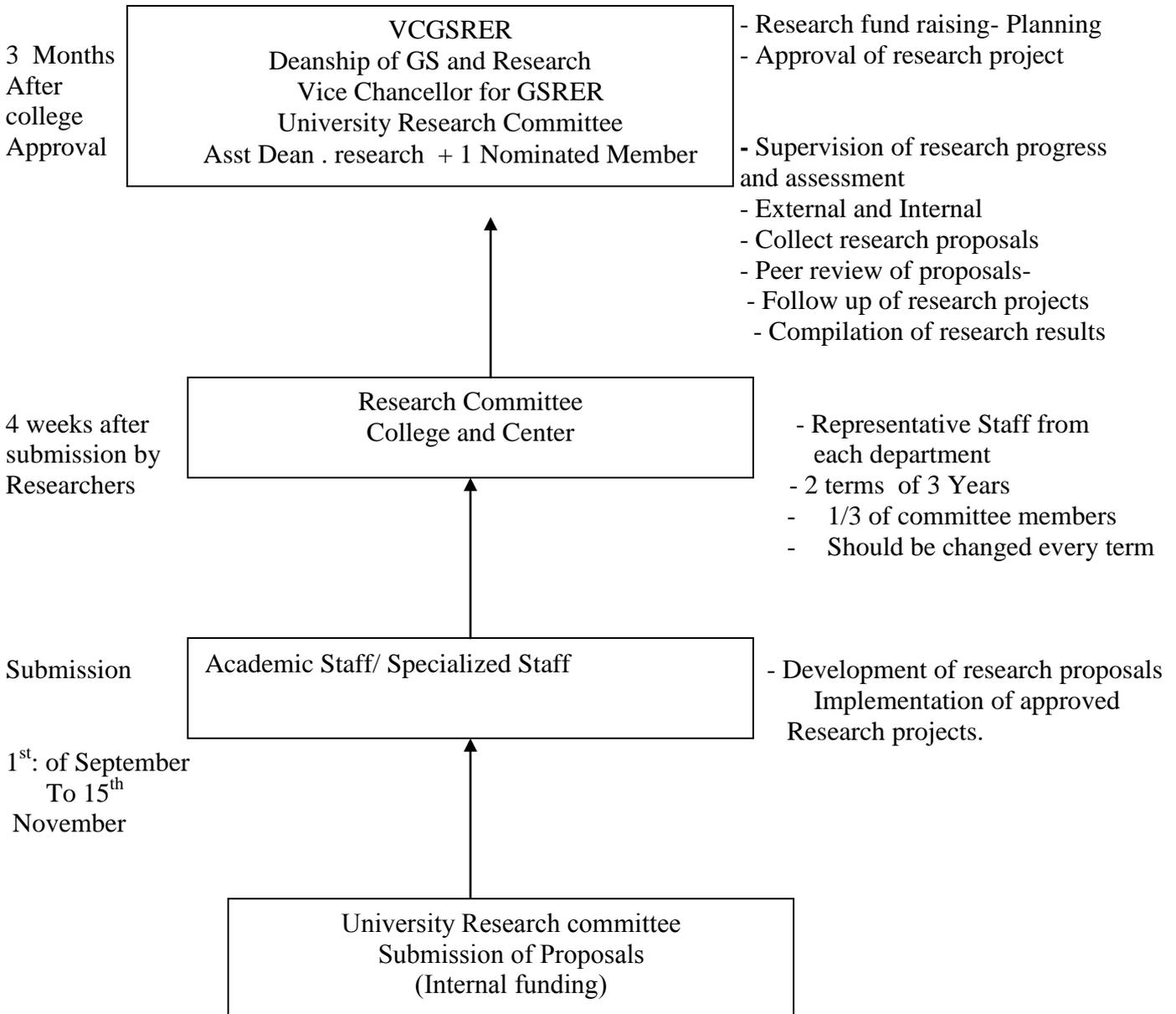


Chart 1: Management span of Scientific Research

3. Approval of research proposals -

Path of approved research proposals is shown in chart 1. Research proposals submitted by academic and specialized staff members must first be approved by the College committee. The committee can seek review and approve / recommend research proposals from College Board members.

Recommended research proposals should be forwarded to the university research committee through the Deanship of Graduate studies and research.

Peer review of research proposals submitted for internal funding will be done by the Deanship of Graduate Studies and Research for the university research committee

Research proposals seeking external funding will go through the same process. However, final approval will be granted by VCGSRER as a formality. Funding party's approval is essential. For proposals submitted to Oman Research Council funding (TRC). Research proposals submitted to Oman Research Council are to be submitted through TRESS (the Research Electronic Submission System) of The Oman Research Council (TRC). The TRESS can be accessed through website www.trc.gov.om

Approximate time frame for research proposal is indicated in Chart 1. Research proposals are submitted one time a year. First at the beginning of the academic year (last week of September), of. Final approval will be by VCGSRER/ chairman of university research committee and will take 3 months after submission by the researchers.

Research proposals are approved for internal funding on the basis of set criteria specified in the later section as well as on competitive basis as resources may be limited.

Internal funding will come from the university research fund from internal resources as well as donations and grants.

Researchers at the university are however, urged and encouraged to seek funding from external sources where available. External funding of research projects is considered by the UoN among as outstanding achievements of faculty and specialists and are rewarded through merit honorariums , bonus etc...

Faculty members and specialists are encouraged to submit group proposals. One of the research group will serve as a principal Investigator.

Criteria for approving research proposals at all levels

Research proposals seeking internal funding are approved at department, college and university levels according to the following criteria:

- a. Scientific merit
- b. Compliance with ethics and biosafety
- c. Relevance to Sultanate of Oman.
- d. Experience and Track record
- e. Qualification's of researchers.
- f. Priority to group proposals.
- g. Availability of funding.

Research proposals seeking external funding should comply with criteria imposed by the funding sources.

After all reviews and approval of College and University research committee. The principal investigator are informed of the decision The research project is then assigned a university reference code (UoN / RP. #### / Year)

5. Research Proposal Format

Research proposal seeking university funding must use Form 1 . The format of the research proposal is as follows.

- a. Executive summary of the research project.
This part displays the problem and its relevance to Oman, field of Researcher, the objectives and a brief statement on the methodology.
- b. Description of the proposal.
The nature of the problem is described briefly and the plan of the proposal is stated.
The relevant literature must be also included
- c. The objectives and implications of the project in both short / long term in a clear statement.
- d. A detailed description of methodology must be included plus a work plan specifying activities
- e. Significance of the project to Oman and its relevance to scientific knowledge and originality
- f. Research Team: A list of all Researcher s with description of duties and itemized description of time assignments of all Researcher s. A short summary of Researcher s personal data. Commitments of each researchers (time allocated.....)
- g. Time Schedule: List of activities and the time frame for achievement.
- h. Budget: A list of all expendables and non-expendables resources needed by the project and their unit and total costs. These resources include data collection, processing, research consultants, facilities, travel office supplies etc.

A yearly list of resources and costs should be given in case the project is achieved in more than one year

5. Monitoring and Implementation of financial activity

a. Monitoring

Once the Researcher receives official notification that his project has been funded, a monitoring grant financial activity takes place. The University of Nizwa has a research grant web-based system (RGWS) which allows the principle investigator (PI) and financial manager (FM) in the university department of finance to monitor the financial activity of the grant. . This system provides PI and FM (or others whom they designate) the ability to see the grant's budget, what has been spent, and what balance remains in each budget category.

There will occasionally be times when the PI projected expenses in one or more budget categories are either significantly more or less than planned. In such cases, PI does not have the

authority to simply change the budget. The University of Nizwa has specific policies when it comes to making budget modifications that must be adhered to. If PI needs to modify his/her budget, he/she must request a written permission from the Vice chancellor for Graduate Studies, Research and External Relations. This written permission must be on-file with the FM before any budget changes can be made.

The PI is responsible for verifying that all expenses submitted for payment have been paid and that there are no unauthorized payments made against his/her grant. For this reason, it is important that the PI reconciles the grant against the financial information in RGWS. This is like balancing your checkbook on a monthly basis to ensure that there are no bank errors.

b. Conference/ Symposium attendance.

Attendance of conferences and symposia is to be included in the research budget. Approval of requests to attend conferences and symposia will require the following:

- Recommendations of the HOD and Dean
- Absence from the university will not interfere with researchers' duties at the university.
- Presentation of a paper/poster from approved research project or to be invited as guest speaker, chair of a section or a convener of a conference
- Approval of VCGSRER.
- Approval is granted only to researchers / faculty/staff members with the approved research project

If leave is approved to attend conference/ symposium, the researcher will receive plane tickets and per diem allowances for travel as per the university by-laws and as planned in the research project budget.

c. Progress Reports.

Progress reports are submitted every 6 months after final approval. Progress reports are submitted by the principal Researchers to the HOD who in turn will forward to the VCGSRER via the college Dean. Attached Form 5 should be used for this purpose.

The reports must show the achievements during the past 6 months (past period for project less than 6 months time span). They must also show any changes in planned activities as well as unexpected constraints faced by the project.

Progress reports will be evaluated by the VCGSRER and results of this assessment will be forwarded to the principal researcher. Projects may be terminated if progress is not satisfactory.

d Termination of the Research Project: In the event that the Principal Investigator becomes unable or unwilling to continue Project, and a mutually acceptable substitute is not available, University shall have the option to terminate said Project. The principal investigator must submit a detailed report highlighting the events/ reasons for such termination.

e. Final Report

Final Reports of research projects are submitted to the VCGSRER via the HOD and College Dean by the principal researcher upon the completion of the project.

The report should give detailed results of the project and all resulting publications. The final report should follow the format outlined in Form 5 and the copy of the project final report. Final reports are evaluated through internal and external reviewers. Principal researchers will receive a report of this assessment from the VCGSRER. A soft copy of all documents will be kept at the VCGSRER office

f. Patents/ Copyrights and Trademarks : Every invention or discovery or part thereof that results from research or other activities carried out at University of Nizwa or that is developed with the aid of the institution's facilities, staff, or through funds administered by the university Research committee, shall be the property of the university and, as a condition of employment. The University shall exercise its rights of ownership of such patent(s), with or without financial gain, with due regard for the public interest, as well as the interests of inventors and external sponsors concerned.

In general University of Nizwa is less likely to assert the ownership of intellectual property or copyrights for the materials produced by faculty as their normal teaching, research or scholarly activities unless the university has specified agreement in related cases.

All the materials produced or developed as a result of or pursuant of any external research grant or agreement or consultancy services all the copy right ownership of the materials are directly applicable to the relevant agreement.

In any absence of agreement or any assigned terms the copyrights where materials are produced shall be the property of the university.

Whereas, the authors of the thesis shall hold the copyrights but as university is degree awarding institution shall retain the rights of reproduction of the thesis and free to publicly distribute the copies of the thesis.

All the revenues received by the production of the materials produced by university shall be distributed based on the rights of the authors and the share of university under the patent or normal laws of the university.

In addition to this university of Nizwa believes that its copyrights insist all the faculty members to properly observe all the relevant laws of copyright or intellectual property rights. The University of Nizwa shall promote, encourage in development of marketable rights of intellectual property and shall promote in understanding and awareness of these laws and related obligations.

University research committee shall promote and evaluate the production of materials discoveries and shall examine and recommend each potential patentable invention.

h. Involvement of Technicians

All the Principal Investigators require the equipments, financial and human resources to carry out their research projects. These projects shall cost appropriately. The very important resources are the requirement of use of technicians and appropriate costs in their use. Projects may vary in terms of requirements of these resources as part time or full time. Some projects require the share of the time of technicians who are available in the colleges or laboratories. There shall be clear role of technicians who are directly involved in research projects in terms of their assigned duties to perform certain experiments or assisting the PI in review of literature, data gathering or any other computations or laboratorial works.

All the technicians who are directly or indirectly involved in research projects, their role, deliverables and the time and the support duties shall be identified in clear manner. Their costs elements shall be identified and to make sure their assigned roles and their agreement before submission of the proposals.

i. Acknowledgement

All the publications which are produced with the support and use of equipments, physical, financial and human resources of the University of Nizwa must include an acknowledgment of the University of Nizwa and all the investigators and technicians> The recognition these contributions are very crucial and important to the university of Nizwa. The acknowledgement shall consist of specifically the name and the code of the grant. The university research committee maintains the records of monitoring these acknowledgements.

Co-authorship will be extended to all researchers with substantial contribution>

In addition to these the University of Nizwa shall maintain all the list of publications produced out of the support it extended and the necessary record shall be maintained or be documented in order to help and facilitate the future financial grants. All the Principal Investigators shall be asked to forward the necessary copies of their publications that are produced out of the facilities or grants funded and facilitated by the university research committee.

j. External Fund Award or Incentives to attract external funding

1. Statement

The Incentive Reward is designed to support faculty who are capable enough to attract the external funding/ grants and sponsored Research. It provides incentives to principal and co principal investigators and their departments, colleges as a reward for participation in competitive grant seeking efforts, and successfully obtaining external funding for the University of Nizwa.

2. Responsibility

The University of Nizwa recognizes the externally sponsored academic, research or any other academic services or activities which directly or indirectly involve the faculty and satisfy the scholarly needs of the university and the sponsoring agencies objectives. In such scholarly activities where the university provides the faculty, the facilities and the sponsoring agencies provides grants or research or scholarly activities. These activities require significant amount of time and scholarly efforts which need to be recognized, measured and counted. It is apparent that university should recognize the efforts to seek external grants from sponsoring agencies and the university supports faculty for these efforts. Wherever it is necessary university should dedicate and sponsor these events for overall enhancement of academic activities.

3. Recognition

The Research and Scholarly Activity Incentive Reward confirms the followings:

- Supporting continued participation to attract funded research or grant-seeking efforts.
- Rewarding active faculty engaged in funded research or grant seeking efforts
- Encouraging the faculty members to compete for external funded research and

- Attracting and retaining the outstanding researchers who have the ability and capacity to build and establish labs, centers and overall contribution towards profession and dedication to university services.

4. Mechanism

Faculty who attract external funding for research shall be awarded his time efforts as follows:

4.1 If the attracted funds/budget includes salary payments to faculty (Principal Investigator + Researchers); then 35% of salaries should go to University of Nizwa for overhead expenses and 65% of the salary amount to researchers.

4.2 If the approved budget does not include salaries for Principal Investigators and researchers; PI & Researchers will be rewarded by the University of Nizwa through the following system.

- If the approved grant/budget is up to RO 10,000 the Principal Investigator (PI) will be awarded RO 1000
- If the grant amount is up to RO 20,000 the Principal Investigator will be awarded RO 2000 or a fraction not higher than 10% of the total grant.
- If the grant amount is more than RO 20,000 and up to RO 50,000 the Principal Investigator will be awarded 10% of the total amount of the grant but not more than RO 3,500
- If the grant amount is more than RO 50,000 the Principal Investigator will be awarded 7% of the total Grant.
- Co-investigators will receive the equivalent of 50% of the PI reward in all the above cases as a group. They share this reward according to their contribution to the project as stated in the research proposal and approved by the University Research Committee.
- If a researcher or academic faculty /staff services are required by an outside institution other than the university of Nizwa (approved participation in a research project outside the University of Nizwa) he will be awarded for attracting external funds get the same reward as in case number (2) above and the amount of the research time is determined on the basis of his contribution to the project.
- A successful attraction of external funding/grants shall be treated as a significant achievement for a faculty and shall be counted towards promotional considerations.

5. Procedure for payment

All payments are made on a yearly basis as follows:

- For projects taking more than one year a yearly reward is calculated on the basis of the total amount of the reward divided by the number of years of the project as approved by The University Research Committee. Payments are made at the end of academic year. The last payment is made at completion of the project.
- For projects lasting a year or less the payment of the award will be made at completion of the work.



University of Nizwa
Office of the Vice President for Graduate
Studies, Research and International Relations

Research Proposal Form 1

**Research Proposal
(Internal Funding)**

a. Principal Investigator

1. Name : _____
2. Institution : _____
3. College: _____
4. Department: _____
5. Position: _____

Co-Principal Investigator

6. Name : _____
7. Institution : _____
8. College: _____
9. Department: _____
10. Position: _____

b.

	Co- Investigator (1)	Tasks/Deliverables
1	Name :	
2	Institution:	
3	College:	
4	Position	

	Co- Investigator (2)	Tasks/Deliverables
1	Name :	

2	Institution:	
3	College:	
4	Position	

	Co- Investigator (3)	Tasks/Deliverables
1	Name :	
2	Institution:	
3	College:	
4	Position	

	Co- Investigator (4)	Tasks/Deliverables
1	Name :	
2	Institution:	
3	College:	
4	Position	

d. **Research Proposal**

1. Title of the Project: _____

2. Executive Summary: _____

8 . Time Schedule for Project Implementation (See Annexure to the Research Proposal)

9. Potential List of Journals where publications will appear:_(if available)_____

10. Statement

I hereby certify that I have sought the consent of co PI and all the co investigators who all agree on this submission.

Please Note: The researchers may attach additional documents on the proposal

Recommendations

Signature _____ **Date** _____
(Principal Researcher)

HOD _____ **Date:** _____

Assistant Dean For Research (for the college research committee)_____ **Date:**

Dean _____ -

Signature _____ **Date** _____ **Signature** _____ **Date** _____

Approved The University Research Committee _____
(Chairman of URC)

Signature _____ **Date** _____

Annexure
Time Schedule for Project Implementation

	Activity	Year-1			
		1-3 Months	4-6 Months	7-9 Months	10-12 Months
1	Preparation				
2	Data Collection				
3	Collection of literature				
3	Literature review				
4					
5	Surveys				
6	Creation of tools, formalisms and techniques				
7	Analysis of data				



University of Nizwa
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Form 2

Time Assignment of Researcher s

Particulars	Year 1 Hours/Weeks R.O / Units	Year 2 Hours/Weeks R.O / Units	Year 3 Hours/Weeks R.O / Units	Sources of Finance	
				UoN	Others
Principal Investigator					
- Co- Investigator 1					
- Co- Investigator 2					
- Co- Investigator 3					
- Co- Investigator 4					
Technician 1					
Technician 11					
Secretarial					
Coordinator					
Others (Please Specify)					



Budget

Particulars	Year 1 Hours/Weeks R.O / Units	Year 2 Hours/Weeks R.O / Units	Year 3 Hours/Weeks R.O / Units	Sources of Finance	
				UoN	Others
1. Capital Equipment					
a.					
b.					
c.					
d.					
e.					
f.					
g.					
2. Consumables					
a.					
b.					
c.					
d.					
e.					
f.					
g.					
3. Computable Costs					
a.					
b.					
c.					
d.					
4. Local Travel					
a.					
b.					

<p>5. Conference Attendance</p> <p>a.</p> <p>b.</p> <p>c.</p> <p>d.</p> <p>6. Consultants / Technicians</p> <p>a.</p> <p>b.</p> <p>c.</p> <p>d.</p> <p>7 Publication Costs</p> <p>a.</p> <p>b.</p> <p>c.</p> <p>d.</p> <p>8. Miscellaneous (Please Specify)</p> <p>a.</p> <p>b.</p> <p>c.</p> <p>d.</p> <p>9 Overhead Costs</p> <p>a. Office Supplies</p> <p>b. Computer usage</p> <p>c. Labs</p> <p>d. Personnel</p> <p>e.</p> <p>f.</p> <p>g.</p>					
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Summary of Personal Data of Investigator

1. Name _____

2 Present Position _____

Qualifications:

	Degrees	Year	University	Specialization
1				
2				
3				
4				

Professional Experience

	Positions Held	Period	Institution	Department
1				
2				
3				
4				
5				

Significant Research Published Papers relevant to the project during the last 5 Years (If applicable)

	Title	Journal	Date	Observation
1				
2				
3				
4				
5				

Signature of Researcher _____ Date _____



**University of Nizwa
Office of the Vice Chancellor for Graduate
Studies, Research and International Relations**

Form 7

Internal Evaluation Form

Title of Proposal: _____

Name of Proponent: _____

Proponent Institution: _____

Note:

Please put a CHECK () opposite each item which you believe is adequately presented in the research proposal.

2. Give your REMARKS ON items which need improvement or further elaboration.

CRITERIA	REMARKS
A. RELEVANCE AND TECHNICAL QUALITY 1. Appropriateness and clarity of conceptual/theoretical Framework 1.1 the proposal corresponds to one or more of the research priorities\ 1.2 the research proposal is relevant to the problems in the local/national setting 1.3 the research proposal has potential for policy formulation 1.4 The research proposal has potential for disciplinary contribution 1.5 The research proposal addresses at least one of thrusts;	
2. Logical relationship between the conceptual/theoretical framework and the problem of the study. 2.1 the conceptual/theoretical framework is supported by adequate review of current research literature.	
3. Research Method is clearly and adequately described in terms of: 3.1 Research Design 3.2 Sampling Plan 3.3 Instrumentation	

<p>3.4 Data Gathering Technique 3.5 analytical Framework 3.6 tentative Outline of the Report</p>	
<p>4. Work Plan/Activities 4.1 The work Plan should be realistic to accomplish the activity in the study including date of completion/Planned activities. It should include a description of each activity in the study time frame (Gantt Chart). Responsible person and the expected output.</p>	
<p>5. Financial Plan 5.1 the financial plan and budgetary outlay present an itemized breakdown of the total project cost. 5.2 The items of expenditure is in accordance with proforma/guidelines</p>	
<p>B. QUALIFICATION OF THE PROPOENTS 1. Academic qualification 2. Track record/competence/experience in conducting research 3. Research Integrity 4. Access to institutional support (i.e Facilities manpower)</p>	



Form 8

**UNIVERSITY OF NIZWA
CONFERENCE PARTICIPATION APPLICATION FORM**

Title /description of paper/presentation/talk:

Location (City/Country) of Conference:

Title of conference:

DATES OF CONFERENCE

CONFERENCE SPONSORS(S)

Faculty name: _____

Department/ college: _____

Title of the approved research project: _____

Details of Tentative Expenditure _____

Total Amount Requested in (R.O) _____

Assurance: *I agree to accept responsibility for the participation of the conference and provide required information and return report if travel grant is awarded as a result of this application*

Signature _____ **Date** _____
(Principal Researcher)

HOD _____ **Dean** _____

Signature _____ **Date** _____ **Signature** _____ **Date** _____

Approved By _____
(VCRGSER)

Signature _____ **Date** _____



CONFERENCE -RETURN REPORT FORM

Name of the Participant (s) _____

College/ _____ University of Nizwa

Conference held on _____

City _____ Country: _____

Title of the Conference/Seminar: _____

Date of Departure: _____ Date of Return: _____

Title of Presentation/talk/paper: _____

Nature of participation: (such as audience, present a paper, chairing a session, invited for a talk etc): _____

Summary of Activities: _____

Attachments: _____

(Sig)
Name: (_____)