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List of Abbreviations

ADPSR: Assistant Dean for Postgraduate Studies and Research for a college
CAC: Centre Administrative Committee of a research center or the Language Centre
CET: Center of Educational Technology
CIS: Center of Information Systems
CRC: College Research Committee of a college
CR: Consultancy Research
DA: Director of Administration for a college/center
DC: Director of Centre for a research center or the Language Centre
DR: Deanship of Research
DPS: Deanship of Postgraduate Studies
DVCPSR: Deputy Vice Chancellor for Postgraduate Studies and Research
EG: External Grant
FFP: Financial Focal Point (FFP) for TRC
HM or HMTF Grant: His Majesty Trust Fund Grant
HoD: Head of Department for an academic department in a college
IFP: Institutional Focal Point for TRC (Currently Dean of Research at SQU)
IG: Internal Grant
JPA: Journal Publication Award
LPO: Letter of Purchase Order (LPO)
NOL: No Objection Letter
ORG: Open Research Grant of TRC (The Research Council)
PAD: Personnel Affairs Department
PI: Principal Investigator for a research project
Postdoc: Postdoctoral Research Fellow
RA: Research Assistant
SR: same as HM and HMTF (His Majesty Trust Fund Grant)
TSD: Technical Service Department
TRC: The Research Council
TRESS: TRC Electronic System
List of Forms

**F1**: Research Proposal Form  
**F2**: Personal Data Form  
**F5**: Annual Progress Report form for IG and HM projects  
**F7**: Final Report form for IG projects  
**F9**: Consultancy Service or External Grant Form  
**F11**: Budget Reallocation Form  
**F12A**: Research Assistant Contract Form  
**F12B**: On-Request Employee Payment Form  
**F32**: Scholarship Contract Funded by Research Grant Form  
**F8**: Petty Cash Request Form

**Note**: Research forms are available at: [SQU RESEARCH FORMS](#).
1. Introduction

The Deanship of Research at Sultan Qaboos University oversees scientific research policies and activities of the university. It ensures that the research policies and procedures serve the needs of the researchers and that they are clear, transparent and effective. It administers different types of research grants including strategic (from His Majesty's Trust Fund), internal, external (including grants from The Research Council), joint, and consultancy services.

The aim of this Researcher Guide is to provide the information needed by researchers for accessing and making effective use of the available research funding schemes. It includes general information about the available types of research grants. It also includes information about the rules as well as the step-by-step procedures for applying for grants, procurement of research equipment and materials, recruiting research support staff, issuing payments for research support staff, conference attendance and research travel arrangements, research budget reallocations and transfers, project extensions and project progress and final reports.
2. Research Funding Schemes

2.1 Internal Grants (IG)

Internal grants (IG) are derived from the University’s annual budget and other internal resources, as well as unconditional research donations made to the University by outside bodies, without stipulating specific restrictions on the research topic. Internal grants are used to support academic research which is expected to yield original results or findings that generate new knowledge and to develop concepts consistent with the research and educational objectives of the University. Results obtained are also likely to generate interest in a subsequent research project of a broader scope to be considered from other funds.

2.2 His Majesty Trust Fund Strategic Grants (HMTF)

The generous HMTF research funds donated by His Majesty Sultan Qaboos are used to support long-term, multidisciplinary strategic research projects of importance to the Sultanate. The aim of such projects is to generate new knowledge and discoveries leading to substantial socio-economic benefits to the Omani society in the long run. Researchers are expected to obtain major results and identify anticipated direct benefits to prospective users. This type of research is expected to help the University build an infrastructure for “centers of excellence” in vital areas, in addition to making a solid contribution to the advancement of University’s academic programs. This type of research should go along with the Sultanate’s long term planning goals.

2.3 The Research Council (TRC) Grants

SQU researchers are encouraged to seek funding from The Research Council (TRC). This section provides information about the Open Research Grants (ORG) of TRC. There are other types of TRC research grants including Strategic Research Grants, Graduate Research Support Program (GRSP), and Faculty Mentored Undergraduate Research Assistance Program (FURAP). More information on TRC grants can be found at the TRC website (www.trc.gov.om). Open research grants are funds for academic research. They are considered a key driver of wealth and social progress and are instrumental in producing new knowledge leading to future applications, markets or social understanding. Strategic grants support strategic research
activities and aim to gain or consolidate leadership in key areas. They must relate to themes identified by the Research Council as the most important fields of knowledge, where research capacity and excellence are particularly important to improve Oman’s ability to address the social, economic, public health and environmental challenges of the future.

2.4 Joint SQU-UAEU Grants

SQU has an agreement with UAE University (UAEU) to jointly fund research projects of mutual interest for both universities. SQU researchers are encouraged to initiate collaboration with peer researchers from UAEU and to apply jointly to this type of grants.

2.5 Consultancy Research Services (CR)

Industry and business from the private and public sectors can benefit from the University's know-how and technical facilities through consultancy activities sponsored by them. This typically involves applied research for problem solving and in some cases systematic development of new knowledge for the benefit of the sponsor, to address current problems (threats), create new opportunities, or make new discoveries. The experience gained contributes to the advancement of the University’s research capabilities and academic programs, making them more relevant to addressing major social and economic problems of the Sultanate, while building stronger research ties with various sectors. It also creates an innovative and entrepreneurial environment at the University for generating intellectual property, with commercial potential that would promote a new knowledge-based industry, create local employment, and bring additional revenues to the University from licensing royalties. In addition, in some colleges these activities improve the prospect for future employment of research students by sponsoring organizations. Besides expertise, the nature of the project may also require the use of University facilities.

2.6 External Grants (EG)

External grants are received from sponsors, such as national, regional and international agencies, industry, individuals and philanthropic organizations, to support academic research. The Deanship of Research gathers information on such donations and disseminates it to Colleges and Research Centers, for circulation to researchers. In some cases the researcher may apply directly to the sponsor. However, the Deanship’s approval has to be obtained.
3. Application and Approval Procedures for Research Funding

3.1 Application and Approval for Internal Grants (IG)

An application should be submitted within the submission deadlines (please refer to Section 11 for information about the submission deadlines) according to the following steps:

1. Fill a Research Proposal form (F1) and a Personal Data form (F2) for each team member.
2. Submit an application (F1 and F2 forms) signed by the PI and the HoD to the Assistant Dean for Postgraduate Studies and Research (ADPSR) or to the Director of the Centre (DC) for endorsement by the College Research Committee (CRC) or by the Centre Administrative Committee (CAC).
3. The ADPSR shall submit the recommendations of the CRC to the Dean of the College for endorsement before submission to the Deanship of Research (DR). As for the centres, the DC endorses the CAC recommendations and sends the application to the DR.
4. The DR shall coordinate the review process with the external reviewers.
5. The DR sends the evaluation reports to the ADPSR/DC for discussion by the CRC/CAC.
6. The ADPSR/DC forwards the evaluation reports with CRC/CAC decision to the PI for revising the research proposal accordingly.
7. The PI submits the revised proposal to the ADPSR/DC.
8. The ADPSR/DC submits the revised proposal to the DR.
9. The DR will obtain approval for the proposal from the DVCPSR.
10. The final approved proposal will be assigned a code by the IG section at the DR and the DR will send an approval letter to the PI to commence the project.

3.2 Application and Approval for HMTF Grants

An application should be submitted within the submission deadlines (please refer to Section 11 for information about the submission deadlines) according to the following steps:

1. The PI should fill a Research Proposal form (F1) and a Personal Data form (F2) for each team member.
2. The PI should submit an application signed by both the PI and the HoD to the Assistant Dean for Postgraduates and Research (ADPSR) or the Director of Centre (DC) for
endorsement by the College Research Committee (CRC) or by the Centre Administrative Committee (CAC).

3. The ADPSR shall submit the recommendations of the CRC to the Dean of the College for endorsement before submission to the Deanship of Research (DR). As for the centres, the Director of the Centre sends the CAC recommendations to the DR.

4. The DR shall coordinate the proposal review process by external reviewers and local stakeholders.

5. The DR will invite the PI to give an oral presentation on the proposal in front of the Research Board as part of the evaluation process.

6. The Deanship of Research summarises the proposals evaluations and submits them to the Vice-Chancellor for approval after discussion with the DVCPSR, the Dean of Research and the Director of the Research Department.

7. The DVCPSR will announce the approved proposals on the university day.

8. The Deanship of Research will meet with the PIs of the approved proposals for budget negotiation and discussion of necessary revisions based on the feedback of the external referees, government agencies and evaluation by the Research Board.

9. The PI may be requested to modify the proposal and submit it again to the Deanship of Research before activating the project budget.

10. The final approved proposal will be assigned a code by the HMTF section at the DR and the DR will send an approval letter to the PI to commence the project.

3.3 Application and Approval for TRC Grants

1. The PI can submit a research proposal any time online on the TRC electronic system. A detailed explanation of how to submit an online application on the TRC electronic system can be found at the following link: TRC APPLICATION

2. The PI should arrange for a No Objection Letter (NOL) to be sent to the Deanship of Research (DR) by the ADPSR/DC.

3. The Institutional Focal Point (IFP) for TRC at SQU (the Dean of Research) will be notified by TRC about the online submission.

4. The IFP will review and approve/reject the submission on the TRC electronic system. The NOL must be received by the DR before approval of the submission by the IFP.

5. Once approved by the IFP, the proposal will be submitted to TRC for evaluation.

6. If conditionally approved by TRC (pending negotiation), the PI will be notified by TRC.
7. TRC will arrange for a negotiation meeting to discuss the project budget before final approval.
8. An acceptance letter will be sent by TRC to the PI.
9. The research grant agreement will be signed by both parties (SQU and TRC).
10. The final approved agreement will be assigned a code by the TRC section of the DR. The PI will be notified by the DR.

3.4 Application and Approval for Joint SQU-UAEU Grants

An application should be submitted within the submission deadlines (please refer to Section 11 for information about the submission deadlines) according to the following steps:

1. Fill a Research Proposal form (F1) and a Personal Data form (F2) for each research team member from both universities.
2. Submit an application signed by the Principal Investigator (PI) and the Head of Department (HoD) to the ADPSR/DC for endorsement by the College Research Committee (CRC) or by the Centre Administrative Committee (CAC).
3. The ADPSR/DC arranges for the endorsement of the proposal by the Dean/DC and sends it to the Deanship of Research (DR).
4. The DR presents the proposals to the joint scientific committee between SQU & UAEU to select the proposals to be sent for external reviewing.
5. The DR coordinates the review process with the external reviewers.
6. The DR presents the reviewers evaluation reports to the joint scientific committee for final evaluation and approval.
7. The DR informs the concerned ADPSR/DC about the approved proposals.
8. The DR will meet with the PIs of the approved proposals for budget negotiation and discussion of necessary revisions based on the evaluation of the external referees and the joint scientific committee.
9. The ADPSR/DC submits the revised proposals after discussion by the CRC/CAC.
10. The final approved proposal will be assigned a code by the Internal and Joint Research Grants Section at the DR. The PI will be notified.
11. The DR will send an approval letter to the PI to commence the project.
3.5 Application and Approval for Consultancy Research (CR) and External Grants (EG)

The application and approval of a consultancy research (CR) service or external grant (EG) involve the following steps:

1. The PI prepares a proposed contract in coordination with the sponsor.
2. The PI fills a CR/EG form (F9) according to the proposed contract.
3. The PI must obtain the approval of the Dean/DC on the F9 form. By so doing, the Dean/DC confirms that investigator's time, departmental/center space, and other necessary department/center facilities are available to support the proposed activity.
4. If a non-disclosure agreement (NDA) is requested by the sponsor, the PI must coordinate with the sponsor, prepare the NDA and get it signed by the sponsor.
5. The PI submits a hardcopy and an electronic copy of the application including a cover letter, the proposed contract signed by the sponsor, the F9 form signed by the Dean/DC and signed NDA if needed, to the Dean of Research through the ADPSR/DC.
6. After processing the application, the DR will send it to the DVCPSR to obtain the necessary approvals of the authorized university officials on the proposed contract and NDA.
7. A CR/EG project code will be assigned to the final approved contract by the Contracts & Consultancies Section of the DR and the PI will receive copies of the full documents.
8. The duly signed contract will be sent by the DR to the sponsor notifying the approval and SQU will receive the payments as per the agreed terms of the contract.

4. Personnel Recruitment for Funded Research Projects

4.1 Recruiting a Research Assistant (RA) or a Postdoctoral Research Fellow (Postdoc)

1. The PI should fill and sign two original copies of the Research Assistant Contract form (F12A) and get them signed by the RA/postdoc.
2. The PI should submit an application including the following documents to ADPSR/DC:
   a. Two filled and original copies of the Research Assistant/postdoc Contract form (F12A)
   b. CV.
c. No objection letter from employer (for Omani non SQU employed).
d. Passport copy (for non-Omani RA/postdoc only)
e. Medical Insurance (for full-time non-Omani RA/postdoc only)
f. Filled visa form for expatriate (if visa required).
g. Two passport size photos (if visa required)

3. The ADPSR/DC signs the two original copies of F12A and forwards the application to the Research Department of the Deanship of Research for approval.

4. The DR sends the Research Employment contract to the DVCPSR for approval.

5. The DR sends a signed original copy of the RA/postdoc contract to the PI.

### 4.2 Recruiting an MSc/PhD Scholarship Student

1. The PI should fill and sign two original copies of the Scholarship Contract Funded by Research Grant form (F32) and get them signed by the selected student.

2. The PI should submit an application including the following documents to ADPSR/DC:
   a. Two filled and signed original copies of the Scholarship Contract Funded by Research Grant form (F32)
   b. CV.
   c. Enrolment letter from the Deanship of Postgraduate Studies

3. The ADPSR/DC signs the two original copies of the Scholarship Contract Funded by Research Grant form (F32) and forwards the application to the Research Department of the Deanship of Research for approval.

4. The DR sends the scholarship contract to the DVCPSR for approval.

5. After approval by DVCPSR, DR sends an original signed copy of the contract to the PI and a copy to the Deanship of Postgraduate Studies (DPS).

The following are additional steps for TRC grants:

6. The PI should submit an online nomination for student on TRC website.

7. After approval of the request by the IFC, the request is submitted to TRC and the budget should be released according to the approved period.

8. A declaration form (available on the DR website) and an enrolment letter should be attached to the nomination on the TRC electronic system. More information on the submission of a nomination is available at: [TRC NOMINATION](#)
4.3 Inviting a Consultant

1. The PI should write a letter to the Dean of Research through ADPSR explaining his/her request and providing detailed information (including name of consultant, from where he/she is coming, visit period, purpose of the visit, requested fund). The PI should attach to the letter the following:
   a. CV of the consultant
   b. passport copy of the consultant
2. After processing by the DR, the request will be forwarded to DVCPSR for approval.
3. If the request is approved, the Research Department (Research Expenditures Section) of the Deanship of Research will issue a cheque for the consultant.
4. If the request is not approved, the Research Department will return it back to the PI explaining the reasons.

5. Personnel Payment

5.1 Payment for a Full Time/Part-Time RA, Postdoc or Scholarship Student

Payments for these personnel categories are issued automatically after approval of the recruitment application.

5.2 Payment for an On-Request RA

1. The PI should fill and sign an On-Request Employee Payment form (F12B) and submit it to ADPSR/DC for confirmation and signature.
2. The ADPSR/DC arranges with the college/centre Director of Administration for entering the request in the university electronic financial system (Vision).
3. The ADPSR/DC submits the payment application to the Research Department of the Deanship of Research including the following documents:
   a. On-Request Employee Payment form (F12B)
   b. Copy of approved Research Assistant Contract form (F12A)
   c. Request submitted on the university electronic financial system (Vision)
   d. Annex of the F12B form (for SQU Staff)
4. For a TRC project, the PI should also request the payment for the postdoc on the TRC electronic system (under requisitions) attaching a copy of the approved contract. More information on postdoc payment requests is available at: TRC POSTDOC PAYMENT.

5.3 Payment for a Consultant

If the request for inviting a consultant is approved, the Research Department (Research Expenditures Section) of the DR issues a check and submits it to the consultant or PI.

5.4 Personnel Cost for a CR Project

SQU personnel costs for a CR project represent a portion of the cost of consultancy in lieu of the time spent by SQU personnel working on that activity. The nature of consultancy activities may require work being done outside normal working hours and this may be performed off-campus. As an incentive to investigators putting in extra time and effort, they are provided with financial benefits as outlined in Table 1. The following shall be considered in the cost estimation:

1. Personnel cost for manpower shall include university, college, centre and department overheads.
2. Personnel costs shall be agreed with the sponsor up-front.
3. Actual time spent shall be recorded on a weekly timesheet by each SQU staff member to form the basis for invoicing the sponsor on the SQU personnel costs, and calculating the portion to be paid to SQU personnel.
4. SQU personnel may not undertake paid consultancy work (including overtime) in excess of 10 hours per week. If this limit is to be exceeded approval must be obtained to use consultancy funds to cover replacement staff.
5. Consultancy work will be based on hourly minimum rates as indicated in Table 1 for various personnel categories, including overheads.
6. The University charges overhead for using its name, personnel and facilities. This does not include the use of specialized equipment.
7. Government organizations and other public organizations may be exempted from University overhead charges.
8. College and departmental shares of consultancy costs shall be administered as per SQU rules and regulations.
Table 1: Normal rates for manpower, including overhead charges.

<table>
<thead>
<tr>
<th>SQU Personnel Category</th>
<th>Hourly Rate (RO)</th>
<th>The total sum shall be distributed as shown in Table 2</th>
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<tbody>
<tr>
<td>Professor or equivalent</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td>Associate Professor or equivalent</td>
<td>40</td>
<td></td>
</tr>
<tr>
<td>Assistant Professor or equivalent</td>
<td>30</td>
<td></td>
</tr>
<tr>
<td>Lecturer or equivalent</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>Demonstrator or equivalent</td>
<td>15</td>
<td></td>
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<tr>
<td>Research Assistant/Other support staff</td>
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Table 2: Distribution of Personnel Charges

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<th>Beneficiary</th>
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<tr>
<td>Investigators</td>
<td>60%</td>
</tr>
<tr>
<td>University</td>
<td>20%</td>
</tr>
<tr>
<td>College/DVCPSR</td>
<td>10%</td>
</tr>
<tr>
<td>Department/Centre</td>
<td>10%</td>
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</table>

6. Conference Attendance and Travel

6.1 Conference Attendance

Financial support for conference attendance can be obtained from the university central conference attendance budget or from the various research grants (except internal grants). To apply for financial support for conference attendance from the university central conference attendance budget or from a research grant (not including internal grants) the following steps should be followed:

1. The researcher enters the request in the online electronic conference attendance system
2. The request will go through online approvals by the HoD, ADPSR/DC and Deanship of Research. The researcher will receive notifications by email.
3. The Deanship of Research submits the request to the DVCPSR for approval.
4. The approved application is sent to the Personnel Affairs Department (PAD) for issuing a Qarar and a copy of the Qarar is sent by the PAD to the DA of the college/center.
5. The researcher should contact the Ticketing Section of the Procurement Department for getting the travel ticket.
6.2 Overseas Travel (Scientific Visit)

1. The PI should obtain an invitation letter from the collaborating researcher/institution indicating the purpose, place, and period of the visit.
2. The PI should send to the Dean of Research through the ADPSR/DC a request letter indicating the purpose, place, and period of the visit as well as the requested fund. The invitation letter must be attached to the request letter.
3. After processing, the Deanship of Research forwards the request to the DVCPSR for approval.
4. The approved request is sent to the Personal Affairs Department for issuing a Qarar and a copy of the Qarar is sent to the Director of Administration of the PI's college/center.
5. Once a Qarar is issued, the Research Department of the Deanship of Research issues a payment voucher. The PI should contact the Ticketing Section of the Procurement Department for getting the travel ticket.

6.3 Local travel

1. The PI should send to the Dean of Research through the ADPSR/DC a request letter indicating the purpose, place, and period of the travel as well as the requested fund. The letter should also indicate if transportation is needed.
2. After processing, the Deanship of Research forwards the request to the DVCPSR for approval.
3. The approved request is sent to the Personal Affairs Department for issuing a Qarar. Once a Qarar is issued, a copy will be sent to the Director of Administration of the College/Centre.
4. Once a Qarar is issued, the Research Department of the Deanship of Research issues a payment voucher.
5. The PI should contact the Ticketing Section of the Procurement Department for getting the travel ticket or the Transportation Section of the Administrative Affairs Department for transportation arrangements.
7. Budget Reallocations/Transfers and Project Extensions

7.1 Budget Reallocation for IG, HMTF, Joint and CR Projects

1. To request budget reallocation (between budget items), the PI should fill and sign the Budget Reallocation form (F11) and submit it to the ADPSR/DC for approval.
2. If approved, the ADPSR/DC arranges for the request to be entered in the Vision system.
3. The Research Department of the DR will process the request according to the budget reallocation rules and regulations.

7.2 Budget Transfer and Project Extension for IG, HMTF, Joint and CR Projects

1. A partial or full budget transfer to the next year is possible subject to approval by the CRC/CAC of the college/centre and by the DR.
2. For IG and HMTF projects, an extension of the project period is possible subject to satisfactory progress of the project as evaluated by the CRC/CAC of the college/centre and approval of the DR.
3. For CR, an extension of the project period is possible subject to the sponsor's approval.

7.3 Budget Reallocation for TRC Projects

1. TRC provides flexibility to move funds between expenditure categories.
2. To do so, the PI must provide TRC with explanation and justification for any changes and movement of funds. TRC must be satisfied and confirm that the proposed change is acceptable before the transfer of funds.
3. Funds allocated for Equipment and Facilities and Postgraduate students shall not be moved to any other category. However funds from other categories may be moved to these categories.
4. For any budget reallocation the PI should submit the request online through the Grant System on the TRC website. More information on how to submit a budget reallocation request is available at: TRC BUDGET REALLOCATION.
5. The request will be submitted to the IFP for initial approval then it will be submitted to TRC.
6. The Financial Focal Point (FFP) will inform the PI about the reallocation approval and do the needful in the Vision System.
7.4 Budget Transfer (Carry Forward) for TRC Projects

1. In case of unused annual fund as specified in the project budget, TRC will require justification if the amount is greater than 25% of the approved fund for the year in order to carry forward that amount. The justification is subject to acceptance/rejection by TRC.

2. For any budget transfer the PI should submit the request online through the Grant System on the TRC website. More information on how to submit a budget transfer (carry forward) request is available at: TRC BUDGET TRANSFER (CARRY FORWARD). The request will be submitted to the IFP for initial approval then it will be submitted to TRC.

3. An email will be sent to the PI by TRC to inform about the approval/rejection of the request.

7.5 Project Extension for TRC Projects

1. The PI of a TRC project has to submit the progress report for the last year of the project period in order to be able to submit an extension request.

2. The PI can request for an extension for the project only once and for one year as a maximum.

3. The PI should send to the Dean of Research through the ADPSR/DC a request letter stating the requested extension period and the justification as well as the breakdown of any needed additional (top-up) budget.

4. DR sends the extension request to TRC.

5. TRC makes a decision and sends a reply to the PI through DR.

8. Progress and Final Reports

8.1 Annual Progress Reports for IG Projects

1. An annual progress report should be submitted to the ADPSR/DC before the end of each year (except the final year) and must follow the format outlined in the Annual Progress Report form (F5).

2. The progress report (F5) is reviewed by the CRC/CAC and endorsed by the ADPSR/DC.

3. The ADPSR/DC shall report the recommendations of the CRC/CAC to the Research Department of the Deanship of Research where a decision regarding the continuation of the project will be made.
4. The budget will be closed at the end of each year and will remain closed until a satisfactory progress report is received by the Deanship of Research.

8.2 Final Reports for IG Projects

1. A final report should be submitted to the ADPSR/DC by the end of the project and should follow the format outlined in the Final Report form (F7).
2. The final report (F7) is reviewed by the CRC/CAC and endorsed by the ADPSR/DC.
3. The ADPSR/DC shall report the recommendations of the CRC/CAS to the Research Department of the Deanship of Research.
4. Failure to submit the final report will affect the PI’s chances for future research funding.

8.3 Annual Progress Reports for HMTF Projects

1. The ADPSR/DC shall call for a progress presentation by the PI during March/April of each year of the project duration. The Deanship of Research should be invited to attend the progress presentation.
2. A progress report must be submitted annually to the office of the ADPSR/DC by the end of April and must follow the format outlined in the Annual Progress Report form (F5).
3. The progress report (F5) is reviewed by the CRC/CAC of the college/center.
4. The ADPSR/DC shall report the recommendations of the CRC/CAC to the Research Department of the Deanship of Research where a decision regarding the continuation of the project will be made.
5. The budget will be closed at the end of April of each year and will remain closed until the progress presentation is given by the PI and the progress report is received and approved by the Deanship of Research.

8.4 Final Report for HMTF Projects

A final report should be submitted by the PI at the end of the project including the following:

1. Executive Summary: Follow the format provided on the Deanship of Research website.
2. Comprehensive Final Report: In this report the researcher should include all pertinent research project information in a book style. There is no specific format for this report.
8.5 Progress Reports for TRC Projects

1. The PI of a TRC project should submit a yearly progress report online on The Research Electronic Submission System (TRESS) on the TRC website. More information on the submission of progress reports of TRC projects is available at the following link: TRC PROGRESS REPORT SUBMISSION.
2. A progress report should include achievements and progress made against agreed activities.
3. Delay in progress report submission causes delay in receiving the following year funds. This delay shall not affect the project duration and shall not be used as a base for extension.
4. The FFP will notify the PI about the required submission a month before due date.
5. If a progress report is rejected the PI must address the concerns and re-submit the report.

8.6 Final Reports for TRC Projects

1. The PI should submit a final report within three (3) months of the end date of the project and the submission is online on the TRESS system on the TRC website. More information on the submission of final reports for TRC projects is available at the following link: TRC FINAL REPORT SUBMISSION.
2. If a final report is rejected the PI must address the raised concerns and re-submit the report.

8.7 Progress Reports for Joint SQU-UAEU Projects

1. The RD shall call for a progress presentation by the PI during May of each year of the project duration. The presentation should be delivered to the joint Scientific Committee either at SQU or at UAEU.
2. A progress report must be submitted annually to the ADPSR/DC after delivering the presentation to the joint Scientific Committee and must follow the format outlined in the Annual Progress Report form (F5).
3. The progress report (F5) is reviewed by the CRC/CAC.
4. The budget will be closed at the end of April and will remain closed until a satisfactory progress report is received and approved by the DR.
8.8 Final Reports for Joint SQU-UAEU Projects

A final report should be submitted by the PI at the end of the project including the following:

1. A presentation delivered to the Scientific Committee either at SQU or at UAEU
2. An executive summary according to the format provided on the DR website.
3. A comprehensive final report including all pertinent research project information in a book style. There is no specific format for this report.

8.9 Progress and Final Reports for CR Projects

1. Submission of progress reports for CR projects is subject to the terms of the consultancy service contract.
2. Upon completion of a CR project, the PI shall submit a detailed final report using the SQU Final Report form (F7) or any other format required by the sponsor if any.
3. In the Final report, the PI shall state, but not be limited to, the following:
   a. Project achievements against the approved goals.
   b. Deviations from approved objectives.
   c. Problems encountered during the project execution.
   d. Publications, and/or intellectual property resulting from the project.
   e. External support and collaboration.
   f. Actual versus planned expenditure.

9. Procurement

The role of the Research Procurement Section of the Research Department at the DR is to facilitate the purchase of equipment, consumables and other materials used for research.

9.1 Procurement Using Petty Cash

Petty cash is used to purchase items that cost less than RO 200. The following steps should be followed for procurement of research items using petty cash:
1. The PI checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of college/center DA.

2. The PI fills a petty cash request form (F8), submits it to the college/center DA and receives the requested amount in cash from the DA.

3. The PI purchases the research items and submits the invoices and receipts to the DA.

4. The DA registers the purchased equipment with the Center of Information Systems (CIS) in case of purchase of computers and computer accessories, with the Center of Educational Technology (CET) in case of purchase of audio and visual materials, or with the Technical Service Department (TSD) in case of purchase of other equipment.

**9.2 Procurement Using Letter of Purchase Order (LPO)**

A Letter of Purchase Order (LPO) is used to purchase items that cost more than RO 200 via the university procurement system. There are two types of LPO purchasing: local and overseas.

**9.2.1 Local LPO Purchase**

The following steps should be followed for purchase of items using LPO from a local supplier:

1. The PI estimates the cost of the item based on local market prices and checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of the college/center DA.

2. The PI gets the approval of the ADPSR/DC to purchase the item.

3. The PI requests the college/center DA to enter the request in the electronic procurement system.

4. The request is submitted through the electronic procurement system to the TSD (if it is for an equipment), to CIS (if it is for a computer or computer accessories), or to CET (if it is for audio or visual materials) to get their approval.

5. The Research Department at the DR approves the purchase if it matches the project plan.

6. The request is submitted through the electronic procurement system to the Procurement Department for price analysis and the quotations are sent to the PI for selection and final approval.

7. The Procurement Department issues an LPO to the selected supplier.
9.2.2 Overseas LPO Purchase

The following steps should be followed for purchase of items using LPO from an international supplier if the items are not available in the local market.

1. The PI obtains a price quotation from an international supplier for the item to be purchased and checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of the college/center DA.
2. The PI gets the approval of the ADPSR/DC to purchase the item.
3. The PI requests the college/center DA to enter the request in the electronic procurement system.
4. The request is submitted through the electronic procurement system to the TSD (if it is for an equipment), to CIS (if it is for a computer or computer accessories), or to CET (if it is for audio or visual materials) to get their approval.
5. The Research Department at the DR approves the purchase if it matches the project plan.
6. The PI sends a letter to the Procurement Department through the ADPSR/DC along with the quotation requesting to award the purchase to the selected international supplier with justification for the selection.
7. The Procurement Department approves the request and issues an LPO to the supplier.
8. The electronic procurement system notifies the college/center about the status of the request.

9.3 Direct Purchase

The Dean/DC can directly award a purchase of an amount up to RO 5000 to a specific supplier. The following steps should be followed for this kind of purchase:

1. The PI estimates the cost of the item based on market prices and checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of the college/center DA.
2. The PI provides 3 price quotations from suppliers.
3. The PI gets the approval of the ADPSR/DC to purchase the item.
4. The PI requests the college/center DA to enter the request in the electronic procurement system.
5. The request is submitted through the electronic procurement system to the TSD (if it is for an equipment), to CIS (if it is for a computer or computer accessories), or to CET (if it is for audio or visual materials) to get their approval.

6. The Research Department at the DR approves the purchase if it matches the project plan.

7. The PI sends a letter to the Procurement Department through the ADPSR/DC along with 3 quotations requesting to award the purchase to the selected supplier with justification for the selection.

8. The Procurement Department approves the request and issues an LPO to the supplier.

9.4 Procurement Using Tendering

Tendering is used to purchase items that cost more than RO 5000. The following steps should be followed for purchase of items using tendering.

1. The PI estimates the cost of the item based on market prices and checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of the college/center DA.

2. The PI gets the approval of the ADPSR/DC to purchase the item.

3. The PI requests the college/center DA to enter the request in the electronic procurement system.

4. The request is submitted through the electronic procurement system to the TSD (if it is for an equipment), to CIS (if it is for a computer or computer accessories), or to CET (if it is for audio or visual materials) to get their approval.

5. The Research Department at the DR approves the purchase if it matches the project plan.

6. The Procurement Department will advertise for the tendering on the university website for a period between 1 and 2 weeks allowing local suppliers to submit their tenders.

7. Then University Tenders Committee will receive & then open the tenders.

8. The tender will be sent to TSD/CIS/CET for technical evaluation and recommendation.

9. The PI selects the items and the University Tenders Committee approves the selection.

10. The Procurement Department issues an LPO to the selected supplier.

11. Payment will be made by the Expenditures Section of the Research Department at the DR.
9.5 Purchase of Travel Tickets

Research staff entitled for travel tickets from research grants can either request for tickets of for cash from the Tickets Section of the Procurement Department.

9.6 Payment of Other Invoices

For the payment of other invoices not covered by the types of procurement previously listed in this section (such as for services, publication fees, analysis fees, etc.), the following steps must be followed:

1. The PI checks the availability of funds in the project account on the electronic financial system of the university (Vision) with the help of college/center DA.
2. The PI writes a payment request letter through ADPSR/DC to Deanship of Research, attach the original invoices/signed agreement contract detailing the scope of work, time of delivery and payment procedure. If the invoice amount is known in Omani Rial, attach the Vision commitment along with the letter.
3. The Deanship of Research will proceed with the payment agreement once the PI is satisfied with the work/service.

9.7 Delivery of Procurement Items

1. After payment, procured items will be delivered through the University Central Store according to the delivery period specified in the quotation.
2. The University Central Store will inform the TSD/CIS/CET to notify the end user and to arrange for the delivery of the items to the end user.
3. After receiving the purchased items, the PI should fill the Procurement Receiving form (available in the college/center) and sent it to the Procurement Section of the Research Department at the DR.
9.8 Purchased Equipment Clearance

The PI should fill an Equipment Clearance form and submit it to the college/center DA for the equipment purchased from research grants after completion of the funded research project.

9.9 Avoiding Procurement Delays

Procurement delays can be caused by the following:

1. Budget not available – make sure you have enough remaining funds in your capital equipment and consumables budget before entering your request in the vision system.
2. Long delivery period – check for the delivery period with the supplier before they send the quotation and arrange for the delivery period to be specified in the quotation.
3. Unavailability of space – make sure you arrange for space before you request the equipment.
4. Utilities and needed facilities – make sure you request the necessary utilities (electricity, water, gas…) from the TSD and/or the Project & Maintenance Department during the equipment delivery period.
5. Installation – communicate with the TSD and the supplier to arrange for the date and time of installation immediately after delivery.
6. Training – arrange for a technical staff member in your department/center to attend any required training for operating the equipment.

9.10 Additional Procurement Information

1. Check with the Procurement Section of the Research Department at the DR to see if the needed equipment for your research is available in the university and can be used for your project. In this case you should not include the purchase of the equipment in your project.
2. In case where the specified equipment is available at one of the colleges/research centers and yet an additional equipment is requested, the proposal must justify the need for an additional equipment.
3. Equipment purchased from research grants shall become the property of the University unless it is stated otherwise in the contract with an external funding organization.
4. Equipment purchased from research grants shall be put under the responsibility of the department/center, including the responsibility for operation and maintenance.
10. Other Research Guidelines and Information

10.1 Building Construction Work for Research Projects

1. Any building construction work made within the University’s vicinity for a research project shall be in accordance with the University construction specifications and standards.
2. Approval of the Technical Affairs Department shall be obtained for any research project construction within the University.
3. All project construction shall be the University property once the project is completed.

10.2 Contracted Work

1. A contract shall be signed for contracted work for any company or personnel.
2. All contracting procedures and processes shall be in accordance to SQU rules and regulations.
3. The Deanship of Research shall obtain legal advice for any contract terms and conditions.

10.3 Printing, Publications & IP Protection

This includes the costs of printing study reports, scientific books, time-limited journal subscriptions, protecting any generated IP, and getting research results published.

10.4 Financial Research Incentives

10.4.1 SQU Journal Publication Award (JPA)

Financial awards are paid by SQU to its staff and students for publishing in journals listed in JCR, Scopus, SQU journals or in the list of humanities journals approved by SQU. More information about the SQU Journal Publication Award (JPA) can be found at the following link: SQU JOURNAL PUBLICATION AWARD.

10.4.2 TRC Researcher’s Incentives Based on ORG Output

TRC provides financial incentives to researchers based on output from ORG grants including: publishing in a refereed journal, publishing a chapter in a book, publishing a book, Omani student earning a Master's or PhD Degree, granting patent, spending at least 75% of the (ORG) annual budget, and approval of the progress and final reports. More information on the TRC researcher’s incentives based on ORG output can be found at the following link: TRC RESEARCHER’S INCENTIVES.

10.5 Research Forms

Research forms are available at: SQU RESEARCH FORMS.
### 11. Research Grants Timetable

<table>
<thead>
<tr>
<th></th>
<th>IG</th>
<th>HM</th>
<th>TRC (ORG)</th>
<th>EG/CR</th>
<th>Joint SQU-UAE (CL)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Application Deadline</strong></td>
<td>15&lt;sup&gt;th&lt;/sup&gt; March</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; December</td>
<td>Open</td>
<td>Open</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; February</td>
</tr>
<tr>
<td><strong>Approval Notification</strong></td>
<td>1&lt;sup&gt;st&lt;/sup&gt; January</td>
<td>University Day (2&lt;sup&gt;nd&lt;/sup&gt; May)</td>
<td>Depends on TRC</td>
<td>Depends on Funding Body</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; January</td>
</tr>
<tr>
<td><strong>Progress Report Submission Deadline</strong></td>
<td>31&lt;sup&gt;st&lt;/sup&gt; December</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; May</td>
<td>By the end of each year of the project</td>
<td>As specified in EG/CR Contract</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td><strong>Final Report Submission Deadline</strong></td>
<td>Within three (3) months of the end date of the project</td>
<td>Within three (3) months of the end date of the project</td>
<td>Within three (3) months of the end date of the project</td>
<td>As specified in EG/CR Contract</td>
<td>Within three (3) months of the end date of the project</td>
</tr>
<tr>
<td><strong>Oral Presentation</strong></td>
<td>No progress presentation</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; April to 31&lt;sup&gt;st&lt;/sup&gt; May</td>
<td>No progress presentation</td>
<td>Depends on Funding Body</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; May to 31&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td><strong>Start of Financial Year</strong></td>
<td>1&lt;sup&gt;st&lt;/sup&gt; January</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; May</td>
<td>Same as Start of Project</td>
<td>Same as Start of Project</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; January</td>
</tr>
</tbody>
</table>