



Research & Development Policy

V2.0 – 2019

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Introduction

1. Purpose and Objectives of the Manual

- 1.1 The aim of the Research Policy (RP) is to foster sound procurement and compensation policies to administer the research projects by reflecting best practice principles and arrangements.
- 1.2 This Research Policy (hereinafter 'Manual') supports the Policies regulating GORD (hereinafter GORD or the 'organization'). Once approved by GORD's Board of Directors (BOD), it should be a subsidiary of GORD's policies.
- 1.3 This Manual aims to address all the aspects involved in the Research processes.
- 1.4 Each research project team member is personally accountable for fulfilling his/her responsibilities within this Manual.

2. Copyright Statement

- 2.1 GORD has proprietary rights over this RP and its contents. No part of the Manual should be copied nor is the Manual to be removed or relocated from the organization's premises for any reason without the express written permission of the BOD or authorized Senior Management.
- 2.2 The contents of the Manual are to be treated as confidential and are not to be disclosed or distributed to any unauthorized person or client, inside or outside GORD. On termination of service, any manual holder should return his/her copy and submit over any copy of the same to the Human Resources & Administration function as part of end of service release formalities.

3. Format

Each policy section includes the following headings in the following format:

- 3.1 **Policy Code:** The Research policy code for the Manual is presented as 'RP- #' (where # is the policy number). A code is allocated to each policy standardizing reference to the Research policies across GORD;
- 3.2 **Effective Date:** The date that the policy should be effectively practiced in GORD. In the case of revised policies, the effective date should coincide with the date that the revised policy comes into effect;
- 3.3 **Revision Date:** The date the policy has been last revised;
- 3.4 **Resource Person:** The personnel in charge of maintaining the policy and ensuring it is up to date;
- 3.5 **Policy Name:** The policy name gives users a brief description of the policy presented;
- 3.6 **Purpose of the policy:** The goal achieved from implementing the policy is discussed under this section;
- 3.7 **Scope:** The scope of the policy outlines the personnel responsible for implementing the policy successfully across the company; and

3.8 **Contents:** This section includes policy statements arranged under different sub sections:

3.8.1 **Sub sections:** The policy statements are grouped under the different sub sections according to the content of the statement.

4. **Abbreviations and Glossary of Terms**

- GORD: Gulf Organisation for Research & Development QSTP-LLC.
- BOD: Board of Directors of Gulf Organisation for Research & Development QSTP-LLC.
- Chairman: Founding Chairman of Gulf Organisation for Research & Development QSTP-LLC.
- Procurement - The use of federal or other external sponsor funds to obtain goods and services.
- Award - Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants, contracts and other agreements in the form of money or property in lieu of money, by the federal government or other external sponsor to an eligible recipient.
- RO- Research Office that handles all research grants
- QO- Quality Office
- LPI- Lead Principal Investigator in a Research
- PI- Principle Investigator in a Research
- KI- Key Investigator in a Research
- Per Diem: a daily allowance for living expenses while traveling in connection with the research project.

5. **Manual Administration**

5.1 Update Responsibilities

5.1.1 All amendments and new items must be adequately documented and recorded.

5.1.2 As new policies are introduced or existing policies are amended, the Manual should be updated. Amendments will be evidenced by:

- Additional section(s);
- Additional parts to existing section(s); and
- Amendments to existing section(s) (or part(s) thereof).

In the case of new sections (or new parts of existing sections), these will simply be added to the Manual.

5.1.3 All amendments to this Manual will require the approval of the Chairman.

6. Register of Amendments

6.1 Where amendments are required, the QO recommends amendments to the Chairman who then reviews and submits them to the Chairman for approval.

6.2 The QO will hold the Master Register of Amendments, in the following format:

Amnd. #	Date		Section	Description	Approved by
	Approval	Effective			

7. Register of Access Holders

7.1 The official copy of the Manual will be kept with the Chairman's Secretary.

7.2 The following individuals will have access to this Manual:

7.2.1 The Chairman and members of the Board;

7.2.2 The Secretary of the Board;

7.2.3 Head of Research Office (RO)

7.2.4 Directors of Finance and Administration

7.2.5 Quality Office (QO)

8. Maintenance and Review Frequency

8.1 The Manual should be reviewed as per business requirements.

8.2 The review structure is outlined below:

Policies	Exceptional Reviews	Responsibility for Review
Research & Development Policy	Change of fundamentals or other major internal or external changes	Quality Office in coordination with the Chairman and RO

9. Approvals

9.1 The approval structure is outlined below:

Amendments to Policies	Recommendation of Changes	Review	Approval
All Types of Changes	Chairman/ QO/LPI/RO	QO	Chairman
Major changes	Chairman/ QO/LPI/RO	QO	Board of Directors

Policy Code: RP – 1

Effective Date: 11/Oct/2016

Revision date: 29/Nov/2019

Resource Person: Accounts Officer

Policy Name:

RP – A. Research Projects Procurement Policy

This document outlines GORD's procurement policy and procedures to the procurement of goods and services for externally funded research projects.

Scope:

Implementation of this policy is the prime responsibility of the project team members under the direct supervision of the LPI and final approval by Chairman. LPI is primarily responsible for ensuring the adherence to the policies so that all members are managed in a fair and consistent manner. The RO at GORD will manage and maintain policies includes updates or amendments (i.e. changes, deletions or revisions) and resolving any issues arising out of the interpretation of any of the policies.

Contents:

1. General Policy Statements

The following statements represent the general guiding policy as approved by the Chairman:

- 1.1 While GORD has carefully considered the plans, policies, procedures and guidelines described herein, GORD reserves the right to modify, suspend, revoke, terminate or change any or all of such plans, policies, procedures and guidelines, in whole or in part, at any time, with or without notice. The language set forth in this addendum is not intended to create, nor is it to be construed to create, a contract of any kind between the GORD and any or all of its employees. Where some material in this addendum is provided in summary form, references are made to detailed information regarding specific policies and procedures. Employees in that area are subject to such guidelines, rules and/or manuals and are expected and required to understand and abide by them.
- 1.2 The procedure addresses the procurement of the goods and services necessary to meet the requirements of the externally funded research projects. The type of items being procured, the existing budget and award terms and conditions, the procurement may require prior approval of the sponsor. The LPI will assume much of the responsibility for ensuring that the requirements are met. The following discussion outlines, in detail, the major requirements for the procurement of goods and services from vendors and how the LPI will accomplish the task of ensuring compliance. The basic requirements of RP – A that have the greatest impact on the LPI are:
 - 1.2.1 Procurement procedures ensure that duplicate purchases are avoided,

- 1.2.2** LPI is solely responsible for the determination of the technical specifications of the project requirements.
- 1.2.3** LPI is responsible for acquiring quotations, in coordination with purchasing department, from vendors in the procurement of the project requirements. Any quotations will need to be on the vendor's letterhead, have a brief description of the technical specifications and be signed by an authorized representative.

2. Specific Policy Statements

2.1 Research Materials Classification:

- Items of value below QR 20,000 are classified as consumables.
- All other items are classified as assets.

2.2 Purchase limits:

- Items of value below QR 50,000 can be purchased through single sourcing
- Items of value between QR 50,000 up to 500,000 purchased through single sourcing after Chairman approval.
- Items of value above QR 500,000 should be purchased after obtaining at least three quotations from different vendors and tendering process administered by the Tender Committee.

2.3 General Purpose Materials:

- Items defined as "General Purpose Materials" if their use is not confined to research activities such as cars, portacabins, electrical generators, mechanical equipment, etc..
- The purchase of these items shall adhere to Section 2.2 above.

2.4 Specialty Materials:

- Items defined as "Specialty Materials" if their use is confined to research activities only such as analytical equipment, renewable energy systems, vertical greenhouses, custom-made equipment etc..
- The purchase of these items can be procured from single source locally or abroad.

2.5 Tender Committee:

Tenders Committee is chaired by Chairman with memberships of Research Director or Authorized Personnel from concerned party and Head of finance

2.5.1 Tenders Committee shall not for the purpose of giving themselves authority to act, subdivide the quantity of goods or services or works to be undertaken in portions which fall within their respective financial limits.

2.5.2 Tenders should be approved according to GORD's Delegation of Authority "DOA" matrix.

2.5.3 The Committee shall:

(i) Act on behalf of GORD in inviting and considering offers and tenders for the supply of goods, services or works of all kinds necessary for the conduct of the research activities.

(ii) Make decisions on behalf of GORD on the acceptance or rejection of tenders.

(iii) Ensure that procurement is geared to achieve the highest quality of goods, services and construction, commensurate with the objectives of GORD.

(v) Ensure accountability and transparency in all matters pertaining to tendering, procurement and contracting.

(vi) Ensure the selection of all contractors and service providers is made on sound, transparent, fair and cost-effective bases.

Policy Code: RP – 2

Effective Date: 11/Oct/2016

Revision date: 29/Nov/2019

Resource Person: HR Officer

Policy Name:

RP – B. Research Personnel Policy

Purpose:

The purpose of this Policy is to develop and implement cost-effective and efficient employee recruitment methods to attract a qualified applicant pool in order to fill vacant positions for Research in accordance with GORD's approved manpower plan and organization structure.

Scope:

This Policy is applicable to all GORD Research personnel. Implementation of this Policy is the responsibility of the HR Officer under the direct supervision of the Manager, Human Resources & Administration. All Directors and Function Managers are responsible for implementing this Policy with respect to selecting and hiring qualified and capable candidates who meet the requirements of the job.

Contents:

1. General Policy Statements

The following statements represent the guiding Policies in implementing a cost-effective recruitment process to hiring and retaining qualified and competent candidates:

- 1.1 The LPI is responsible for staffing sponsored projects from proposal/budget, hiring, submitting personnel recruitment forms, supervising, and terminating employees.
- 1.2 All actions must comply with GORD's human resources policies and procedures.
- 1.3 Hiring of personnel on sponsored project is contingent upon the availability of funds. Appointments do not guarantee future employment with GORD, nor do they infer a long-term employer-employee relationship.
- 1.4 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 LPI is responsible for all appointment related notifications.

- 1.5 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.

2. LPI and PI Eligibility

- 2.1 Full time, non-visiting personnel are eligible to serve as LPI on a sponsored project.
- 2.2 must hold a research-oriented doctorate or any of the approved terminal degrees.
- 2.3 The LPI/PI should have at least five peer-reviewed publications.

Policy Code: RP – 3

Effective Date: 11/Oct/2016

Revision date: 29/Nov/2019

Resource Person: Research Officer

Policy Name:

RP – C. Proposal Submission and Award Management

Purpose:

The Proposal Submission and Award Management policy provide a framework and procedures for proposal submission and award management

Scope:

This policy applies to all LPs and PIs who are planning to submit research proposals for external funding.

Contents:

1. General Policy Statements

The following statements represent the guiding policies in implementing the Proposal Submission and Award Management:

- 1.1 The LPI and PI must complete the proposal, budget, and Proposal Form.
- 1.2 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;
- 1.3 The PI's head of department should also verify that: The PI and the department can carry out the project successfully;
- 1.4 The personnel and facilities for the needed activities based upon the budget and budget narrative, are adequate and meet departmental guidelines.
- 1.5 The Chairman acts upon the recommendation of the department head regarding the use of space and facilities. The Chairman review and endorsement determine: Whether the proposed activity interferes with the center ability to meet its main responsibilities;
- 1.6 Whether the institute can accommodate the present and future personnel's budget and salary in case of cost sharing;

- 1.7 Whether the institute and department will be able to meet the obligations assumed by GORD at the end of the grant period.

2. Proposal Signing

- 2.1 All proposals, whether in soft or hard-copy, must be reviewed and approved by RO before final submission.
- 2.2 PIs are not authorized to submit their proposals directly to the funding agencies even when such submittal may be authorized by the funding agencies.
- 2.3 All PIs are required to obtain RO's approval before submitting proposals to the funding agencies.
- 2.4 This requirement serves to ensure that all internally or externally funded research activities conducted by GORD's employees, or using GORD resources or facilities, are approved by RO for compliance with relevant GORD and government guidelines, policies, and regulations. These include, but are not limited to, the following:
 - 2.4.1 Adherence to all relevant policies.
 - 2.4.2 Responsible conduct of research policies, including research integrity.
 - 2.4.3 misconduct, conflict of interest, and intellectual property.
 - 2.4.4 Protection of human and animal subjects.
 - 2.4.5 Protection of the environment.
 - 2.4.6 Fiscal accountability, including recovery of direct and indirect costs.

3. RO Submission Deadline

The proposal and a completed Proposal transmittal form must be forwarded to RO's approval at least five working days before the submission deadline. LPI/PI must ensure that the submitted proposal is complete and accurate and to seek RO's approval well in advance of the deadline in order to avoid any last-minute discrepancies. RO cannot guarantee that the proposal will be processed in time if the deadline is not met.

4. RO Review

RO will review the following (including but not limited to) in order to determine:

- 4.1 Whether the final budget is accurate and whether the indirect cost rates and fringe benefits have been included and calculated accurately.
- 4.2 Whether the budget justification and other parts of the proposal conform to GORD and agency policies;
- 4.3 Whether any GORD matching funds are cited in the budget justification or in the proposal narrative (such as the resources page);
- 4.4 Whether the transmittal form has been completed correctly.
- 4.5 Whether the proposal is in line with the funding agency's guidelines.

5. RO Responsibilities

- 5.1 When an award notice is received from the funding agency:
- 5.2 RO will review the notice to ensure that the terms and conditions of the award agreement are acceptable to GORD. In general, RO will not accept an award unless its content is as specified in the original or revised proposal.
- 5.3 RO is also responsible for: Approval of proposals and proposal budgets.
- 5.4 Setting up of the grant accounts.
- 5.5 All administrative aspects of the awards/project's management.
- 5.6 Liaising with funding agencies.
- 5.7 Requesting and implementing budget reallocation and no-cost extensions.
- 5.8 Submitting interim and final narrative and financial reports.
- 5.9 requesting no cost extensions or budget reallocation.

6. Finance Department Responsibilities

- 6.1 Implementing, and maintaining the budget for the account in accordance with the approved award budget;
- 6.2 Billing the funding agency.

- 6.3 Guaranteeing that spending does not exceed allocated budgets.
- 6.4 Facilitating grants Financial audit.
- 6.5 Submitting timely required fiscal reporting to RO to communicate the reports to the funding agency. This includes interim and final financial reports.
- 6.7 Managing the financial aspects of Sub-award Agreements, if any.
- 6.8 Monitoring the award budgets.

Policy Code: RP – 4

Effective Date: 11/Oct/2016

Revision date: 29/Nov/2016

Resource Person: Accounts Officer

Policy Name:

RP – D. Research Travel Policy

Purpose:

The travel and expense policy provide a framework for reimbursement of reasonable travel expenses while ensuring the effective use of resources, transparency, and accountability. The policy will also cover the detailed per diem allowances, calculations and eligibility requirements for research projects team members.

Scope:

This policy applies to all research team members who incur business related expenses on behalf of GORD awarded research projects. For sponsored project or program funds to pay for travel to scientific, technical, or scholarly meetings, the trip must be approved by the Chairman and project LPI.

Contents:

1. General Policy Statements

The following statements represent the guiding policies in implementing the Travel Arrangements policies:

Claimant

It is the claimant's responsibility to:

- obtain pre-approval from the person to whom they report before committing funds for a trip involving any overnight stay as required.
- include an appropriate description of the purpose of travel or nature of expense claim.
- retain original documentation to support the request for reimbursement;
- obtain proper approval for all expense claims.
- in the case of receipts or documents scanned into the electronic reimbursement system: ensure image quality and authenticity of electronic receipts.

Approver

It is the approver's responsibility to:

- ensure that the expenses have been incurred for legitimate research project purposes and are reasonable in the context of the research activity;
- ensure that expenses claimed are in accordance with this policy;
- verify image quality of electronic receipts.

Lead Principal Investigator

For research related travel, it is the Lead Principal Investigator's responsibility to:

- ensure that expenses have been incurred for legitimate research purposes and are reasonable in the context of the research grant;

Financial Services

- responsible for reviewing travel and expense claims to ensure that claims have been approved;
- verify image quality of electronic receipts.
- responsible for withholding reimbursement that contravenes GORD' policies, and the budget of a research award.
- ensure the best possible flight connection between the traveling locations is reserved at the time of travel booking.

Business Travel Authorization Form

- LPI/PI/Research Team should fill and submit the Business Travel Authorization Form 10 days before any travel.
- The Traveler needs to submit relevant supporting documents (e.g., invitation letters, email communications, etc.) should be attached to the Business Travel Authorization Form.
- The Business Travel Authorization Form should be approved by the traveler's Line manager and the Chairman. It should be also approved by the RO to make sure that enough travel funds are available to cover the trip.
- After approving the Business Travel Authorization Form, the original approved form is sent by the RO to HR.
- HR should forward three copies of the approved form to the traveler, traveler's department and project PI (if different than the traveler).

2. Specific Policy Statements

2.1 Overseas Research Travel

2.1.1 Overseas Research Travel shall be for authorized business visits,

meetings, conferences, forums, long-term duty assignments.

2.1.2 The Manager and HR shall be notified of the same at least 10 days in advance for approval.

2.1.3 The traveler is responsible for ensuring that they have the necessary approval from their Line Manager for the trip.

2.2 Project-based Contracts Employees

2.2.1 Project-based contract is a type of contract that governs the relationship between GORD and an employee hired to work for a certain project(s) externally funded for a specific period.

2.2.2 The employee contract may be terminated at a predetermined time or upon the completion of the project.

2.2.3 For business travel of employees hired under project-based contracts GORD covers the direct expenses of roundtrip ticket fee, daily accommodation and daily transport.

2.3 Rolling Contracts Employees

Rolling contract is a type of contract that governs the relationship between GORD and an employee hired to work on full-time bases for indefinite term. GORD's full-time employees privileges follow the HR policy stated in the Human Resources Policy Manual. The policy highlights the following:

2.3.1 Class of Business Travel

2.3.1.1 Before 2016, Employees who travel on external training or business duty are entitled to air tickets by the organization. Class of Air Travel varies according to the employee's job grade and travel distance as detailed below:

Category	Class
Chairman and Board Members	First Class
Grades I to M	Business Class
Grades C to H	Economy class

2.3.1.2 From 2016 and onwards, All GORD's Employees shall travel on Economy Class.

2.4 As a general rule, when a group of employees of different job grades are traveling on the same mission overseas, each shall be entitled to an air ticket according to his/her grade. However, in exceptional cases, tickets may be upgraded, with the approval of the Chairman to match with those of the group leader, provided they travel on the same flight and stay at the same hotel for the same mission.

2.5 Daily Allowance for Business Travel

2.5.1 For business travel of up to 5 working days including travel days, GORD employees on overseas training courses, overseas business trip, seminar or conference identified as business duty are paid a daily accountable allowance (per diem) as per the table below. The request must be submitted at least five (5) working days in advance of the travel date according to the job grade:

All amounts are in Qatari Riyal (QAR)

Designation	Total amount/day (QR)	Destination
Chairman and GORD Board Members	4,000	Any
GORD Staff	2,000 ¹	Any

- 2.5.2 The above per diem allowance resulted by the overseas training/business travel is meant to compensate the employee for the hotel, food and any other daily local travel expenses that are not otherwise covered by reimbursable expenses.
- 2.5.3 Any variations from the per diem must have the specific approval of the Chairman.
- 2.5.4 For calculation of travel per diem, total number of days are inclusive of business days and travel days.
- 2.5.5 If an employee is on annual leave and the company requests him/her to travel on business, GORD will provide the employee with the air fare and relevant per diem if the business trip.
- 2.5.6 For business travel of more than 5 working days, GORD will cover actual costs associated with travel including flight tickets, transportation, lodging and food. Estimations of the actual costs must be provided before the travel and approvals must be obtained.

¹ Daily per diem for rolling contract employee, was QAR 3000 per day till 2013.

2.6 Travel Arrangements

- 2.6.1 GORD shall bear all costs of travel arrangements, such as visa fees etc. when an employee travels for an authorized business trip or overseas external training.
- 2.6.2 GORD will reimburse the air ticket cost as per grades if an employee makes his travel arrangement.
- 2.6.3 The Human Resources Officer shall be responsible for making all the necessary contacts for registration in accordance with GORD travel guidelines.
- 2.6.4 The employee is to submit a Business Travel Authorization Form in order to obtain approval of his/her Function Manager or Business Manager.

2.7 Travel Escort

- 2.7.1 In case a Qatari female employee should be escorted by one first degree family member on overseas training courses, overseas business trip, seminar or conference identified as business duty, GORD shall provide additional round trip ticket for the escort in the same travel class as the employee.
- 2.7.2 Requests for an escort are to be submitted at least five (5) working days in advance of the travel date.

2.8 Research Travel for KIs or research support team not affiliated to GORD require the following:

- 2.8.1 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.
- 2.8.2 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.
- 2.8.3 Actual costs for external research staff will be covered by GORD according to the rank of the contracted person, country of contract and scope of work.

2.9 Ticket Cancellation

- 2.9.1 In case of ticket cancellation by the employee, the employee must request cancellation of a ticket and state the reason for cancellation in order to obtain approval from the Function Manager or his/her Business Manager, Human Resources Services Officer and the Manager, Human Resources & Administration.