

Inter-institution Fund Allocation –Dispensing Policy

Purpose:

To define the allocation and dispensing processes of externally sponsored research funds to the Institution, Service - providing Departments, Investigators' team, and allowable study costs.

Applicability:

This Policy applies to all research projects sponsored partially or completely by an entity external to King Faisal Specialist Hospital and Research Centre (KFSH&RC), whether industry or governmental, and there is transfer of funds. It should be reflected in all sponsored research agreements.

Exemptions:

Research projects that are directly sponsored by King Abdulaziz City for Science and Technology (KACST), the National Comprehensive Plan for Science and Technology (NCPST), the Center for Biotechnology Excellence, KSU, and other National or International public sponsors that have predetermined fund allocation provisions are exempted. Nevertheless, agreements with these sponsors can be signed only by the Chairman of the Research Advisory Council (RAC) and should be filed with the Office of Research Affairs (ORA). Research projects that are sponsored by KACST or NCPST for a third party, where KFSH&RC is involved as a subcontractor are not exempted (for example, KACST sponsors a project at KFNGH and then KFNGH's investigator signs a collaborative agreement with an investigator at KFSHRC. The last agreement will not be exempted from this policy).

Definitions:

- Allowable study costs: costs which are necessary to carry out the approved projects such as hiring research assistants/coordinators, Investigators' over time, purchase of study supplies/ requirements, study advertisement, research subjects' reimbursements, and travel cost. Filing for intellectual property and commercialization of the intellectual property are not included under allowable study costs and are not covered by this policy.
- Approved Budget: each sponsored research agreement should include an approved budget that is signed by the Principal Investigator and the Chairman of the RAC. This budget should clearly states the amount of funds allocated to the four major categories (Service providing Departments, Study allowable costs, RAC Sub-Committees, and Institution General Research Funds).
- Custodian of the Institution General Research Funds account: is the Research Centre's Central Financial Management Office.
- Department Research Funds account: each Department (or equivalent structure) at KFSH&RC will establish a sub-account under the Consolidated Grant Account at Al Rajhi Bank, devoted for research activities of the Department.

- Externally Sponsored Projects: Research projects conducted by KFSH&RC investigator(s) and funded partially or entirely by an entity external to KFSH&RC.
- Institution General Research Funds account (also referred to as Consolidated Grant Account): Account # 114 608 01 019669/2, Al Rajhi Bank –Branch 114, IBAN # SA1180000114608010196692, Bank Code: RJHISARIA.
- Investigators team: The Principal Investigator and all Co-Investigators participating in the research study who have signed the RAC Investigators’ Assurance Form.
- KFSH&RC Investigator: A Principal Investigator or Co-investigator who is employed by KFSH&RC on part time or full time basis.
- Over time: a research study related work performed by a KFSH&RC investigator after working hours, on weekends or holidays.
- Principal Investigator: the person who directs a research project/team, oversees the scientific and technical aspects of the study, and has the overall responsibility for the management of the research project.
- Project sub-account: a sub account under the Institution’s General Research Funds account that will be created for each project using RAC project number and the Principal Investigator’s Identification Number as identifiers. Funds remaining in a specific project sub-account after completion of the project can be utilized to support another project by the same Principal Investigator, provided this doesn’t contradict the agreement officially signed with the sponsor.
- RAC Sub -Committees account: Account #114 608 01 019669/2 (sub-account # 83100), Al Rajhi Bank, Branch # 114, IBAN # SA1180000114608010196692, Bank Code: RJHISARIA.
- RAC Sub-Committees: The Committees that are involved in the review and evaluation of research projects at KFSH&RC.
- Service- providing Departments: Departments that provide services to support the research projects (e.g. Radiology, Pathology, Pharmacyetc). The amount of money to be paid to these departments is based on mutual agreement between the Principal Investigator and the Department Chairman and should be stated in the approved Budget.

Policy:

1. All sponsored research agreements should be processed/ negotiated by the Sponsored Research Section of the Office of Research Affairs in consultation with the principle investigator and Legal Affairs, and signed by the Chairman of the Research Advisory Council (RAC). King Faisal Specialist Hospital and Research Centre (KFSH&RC) Investigators and Departments are not allowed to independently sign agreements with any sponsor.
2. All sponsored research Funds should be initially deposited in the Institution’s General Research Funds account. Direct payments to Investigators or Departments are not allowed. Investigators and Departments who receive such direct payments will be subjected to disciplinary actions by the CEO.

All previously received funds should be transferred to the Institution's General Research Funds account.

3. Funds Allocation:

Funds will be allocated in the following order:

3.1 Service - providing Departments; if funds remain

3.2 Study allowable costs; if funds remain

3.3 RAC Sub- Committees account.

3.4 The remaining funds are allocated as per the following:

3.4.1 25%: Institution's General Research Fund account.

3.4.2 25%: Department Research Funds account.

3.4.3 50%: Investigators team incentives/ Project sub- account as per the following:

3.4.3.1 The maximum monthly allowable investigators team incentive is: a) Six Thousand Saudi Riyals (SR 6,000.00) per person from one project and Twelve Thousand Saudi Riyals (SR 12,000.00) per person for all concurrent projects, and b) Fifteen Thousand Saudi Riyals (SR 15,000.00) for the team from one project.

3.4.3.2 The remaining of the 50% in 3.4.3 is transferred to the related RAC Project sub –account.

4. Fund Dispensing:

4.1 Service -providing Departments:

Service-providing Departments should formally charge the Principal Investigator (within the approved budget) using official memos and provide an account to which the approved funds will be transferred from the Institution's General Research Funds account after ORA clearance. The use of these funds is under the discretion of the respective Department Chairman.

4.2 Study Allowable costs:

These costs should be requested by the Principal Investigator in the RAC Budget Form and the total allowable cost should be stated in the approved budget. Requests for reimbursement should be submitted by the Principal Investigator to the Office of Research Affairs for clearance and should be accompanied by supporting documents e.g. invoices, and time sheets. Investigators' overtime reimbursement requests should be approved by their respective Executive Director and are subject to the related KFSHRC policy and procedures.

4.3 RAC Sub- Committees Fees:

The fees are Seven Thousand Saudi Riyals (SR 7,000.00) for the initial review and Three Thousand Saudi Riyals (SR 3,000.00) for each subsequent review. The amount will be transferred from the Institution's General Research Funds account to the RAC Sub- Committees account if funds remain after dispensing funds specified in 4.1 and 4.2 above. This should be via an invoice issued by the Office of Research Affairs to the custodian of the Institution General Research Funds account. These fees will be dispensed as specified in GD:099-1432 upon formal request of the Sub-Committee Chairman and ORA clearance.

4.4.1 Institution's General Research Funds:

The funds in this account will be used to replete the RAC sub-committees account as required. If funds remain by the end of a calendar year, they should be used as an internal grant for KFSH&RC investigators-initiated research projects, including partially sponsored projects. An announcement will be made by the ORA and the submitted projects will be evaluated by the Clinical Research Committee and the Basic Research Committee and the RAC.

- 4.4.2 Department Research Fund:
The amount specified in the approved budget will be transferred from the Institution's General Research Funds account to the principal Investigator's Department Research Funds account. These funds can be used for Department-initiated research projects at the discretion of the Department Chairman.
- 4.4.3 Investigators team incentives/ Project sub-account funds:
- 4.4.3.1 Investigators team incentives: requests for incentives should be forwarded to the Office of Research Affairs for clearance. It is the responsibility of the Principal Investigator to distribute the funds among the investigators team according to participation in the study. Cheques will be issued by the Disbursements Department, Finance based on ORA cleared requests. All correspondences in this regard should be copied to the respective Department Chairman and Executive Director.
- 4.4.3.2 Project sub-account fund: Requests for utilization of funds under this account should be forwarded by the Principal Investigator to the Office of Research Affairs for clearance. Funds can be used for unfunded RAC approved research projects at the request of the Principal Investigator.
- 4.5 If the Principal Investigator of a specific project has left the institution, the Project sub-account funds will be equally divided between the Institution's General Research Funds account and the Department Research Funds account.

5. This policy is subject to, and in conformance with, KFSHRC's bylaws, namely the Research Center Bylaws, Financial Bylaws, Endowments, Donations and Zakat Bylaws; other related KFSHRC policy and procedures, such as but not limited to auditing, accounting and executive signatory authority; and the specific terms and conditions, if any, of the sponsored research agreement(s).