



جامعة الأمير مقرن بن عبد العزيز
 University of Prince Mugrin

Policy Title:	Research Project Management Policy				
Policy Number:	UPM.VRAA. SRGD.PP.10	Version	1.0	Effective Date	Fall 2021-2022

Policy Statement:

University of Prince Mugrin (UPM) is committed to ensure that quality management standards are followed in the financial affairs relating to the execution of university research projects.

Purpose:

This policy provides a framework for the financial and expenditure management of all university research projects in order to confirm that all project budgets and expenses are well managed, monitored, documented and used in accordance with the approved project budget.

Scope:

This policy concerns all full-time faculty members, research staff and students engaged with internally and externally funded research projects. Additionally, project funders and related stakeholders are able to monitor and track progress of project finances.

Policy Provision:

Correct and timely disbursement of research project funds is a critical factor in the overall success of a project during the execution phase. Furthermore, the adherence to a financial management workflow ensures that projects are aligned with high quality management standards, ensures transparency of financial affairs to related stakeholders, demonstrates professional research conduct and enhances liability between the concerned parties.

Efficient and timely disbursement of the project funds requires the cooperation between the project principal investigator (PI) and the assigned administrative project coordinator. Henceforth, the responsibilities of each party related to project funding can be stated as follows:

1. Responsibilities of the Principal Investigator:

- The PI is responsible for the technical and financial project affairs and its requirements in compliance with the specified budget agreement as approved by the sponsoring body.



- The PI should communicate and follow-up with the institutional project coordinator to ensure timely disbursements of project funds.
- Provide on-time submission of project deliverables.
- The PI is responsible for delegating a replacement in the case that the PI may discontinue or unactive in project activities for a period in excess of three months. The replacement is required to continue follow-up procedures with the institutional project coordinator.
- The PI or delegated co-PI is responsible for cooperating with the project coordinator/DSRGS and provide all necessary requirements to conduct its activities related to the project.
- The PI is required to keep records and documentation of all expenses made.

2. Responsibilities of the Administrative Project Coordinator:

- Provide general assistance with checking and confirming necessary follow-up of financial procedures as required by the sponsor.
- Communicate with the university finance department to confirm of any financial requirements from the university.
- Prepare and approve invoices and payments made and due.
- Follow-up on necessary disbursements of funds when funds are kept in other administrations. This may be through direct or indirect communications.
- Keep records and documentation of all expenses made and fundings disbursed.
- Follow-up on requested deliverables that are not yet received.
- Ensure that finance reports are completed correctly and include necessary appendices.
- Perform reconciliation of payments and expenses where necessary.
- Perform audits of research projects on a regular basis and ensure correct closure of project finances.

3. Responsibilities of the HSRGS/DSRGS involve communicating the project file to the PI and the assigned institutional project coordinator upon approval, which includes the following documents:

- a. Project Award Contract/Letter and its Conditions
- b. Details of the Budget Breakdown
- c. Reviewing project outcomes upon completion and providing its follow-up recommendations.
- d. Any other specific requirements/obligations



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Overall, the successful implementation of the institutional project financial management policy requires excellent co-operation, and its responsibility is shared between the PI and the administrative project coordinator.

This policy and its procedures shall be reviewed and evaluated on a regular basis. The review is due at the end of each academic year following its implementation and shall be updated where necessary by the DSRGS in consultation with the relevant administrative departments and approved by the HSRGS prior to subsequent updates.

Procedure(s) that apply:

S. No.	Procedure Steps	Responsibility
1.	The HSRGS assigns an institutional project coordinator to facilitate project financial affairs.	HSRGS
2.	Upon confirmation of an accepted project proposal, the HSRGS/DSRGS communicates the details of the project file and project coordinator details to the PI.	HSRGS/DSRGS
3.	For externally funded projects, the project coordinator communicates project financial obligations and requirements with finance department and other departments where necessary.	Project Coordinator/ Finance Department
4.	Project PI and project coordinator arrange a meeting to discuss the requirements and workflow procedures of the project funding.	PI/Project Coordinator
5.	PI makes requests on a timely basis for payments to be made for various project activities.	PI
6.	Project coordinator follows-up with PI for necessary deliverables and approves timely payments if deliverables are provided.	Project Coordinator/PI
7.	Recording and documentation of all project finances is done by both parties.	PI/Project Coordinator
8.	Regular project auditing and reconciliation of finances is done where necessary.	Project Coordinator
9.	PI prepares a financial report with the assistance of the project coordinator.	PI/Project Coordinator
10.	Submission of final financial report upon project closure.	Project Coordinator
11.	HSRGS reviews and discusses project outcomes and prepares its recommendations of follow-up with promising project outcomes and their opportunities.	HSRGS

Department: DSRGS
Deanship: N/A
College/Program: N/A
University Vice Rectorate: Academic Affairs



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Applicable Form(s):

Form Title	Retention Time	Retention Location
		To Be Determined

Definition(s):

Word/Term	Definition
DGSRG	Department of Scientific Research and Graduate Studies
HSRGS	University Higher Scientific Research & Graduate Studies Committee

Related Policy(ies):

- A. Internal Grant Proposal Assessment Policy
- B. External Research Funds Policy

Reference(s): N/A

Policy History: N/A

Contact(s):

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Approvals:

Reviewed By: (signed)		Approved By: (signed)	
Position:	Dr. Barakat Makrami Vice Rector for Academic Affairs	Position:	Dr. Nabil Ali Al-Rajeh University Rector
Date:	24 / 10 / 2021	Date:	24 / 10 / 2021