



مؤسسة الكويت للتقدم العلمي  
Kuwait Foundation for the Advancement of Sciences

# **KFAS RESEARCH GRANT MANUAL**

## **PART 1: GENERAL INTRODUCTION**

### **1.1. About KFAS:**

Kuwait Foundation for the Advancement of Sciences (KFAS) is a private, non-profit organization, established in 1976 by a decree issued by the Late Amir of the State of Kuwait, His Highness Sheikh Jaber Al Ahmad Al Jaber Al Sabah. This was supported by contributions from Kuwaiti Shareholding Companies that constituted KFAS' funds. The noble initiative of the Amir reflected a futuristic vision of the advancement of sciences and technology and, hence, the overall development of the nation.

The Foundation's work is overseen by a Board of Directors, chaired by H.H. the Amir of the State of Kuwait. It is financially supported by Kuwaiti private sector shareholding companies who have made generous contributions throughout the years, the contribution is currently set at 1% of their net annual profit. The broad mission of KFAS has been to support the advancement of sciences so as to promote technological and societal development in the country. For over three decades KFAS endeavoured to accomplish set targets through scientific programs and projects.

In 2011, a new high-level strategy, including an updated vision, mission and strategic thrust was developed to guide current and future programs at KFAS and its centers. The **new vision** of KFAS is focused on promoting "An effective Science, Technology and Innovation system and culture, to which KFAS has contributed, that underpins the sustainable development of the State of Kuwait".

The main pillars of KFAS's new strategy focus on:

- Develop a strong advocacy for science education and scientific culture.
- Enhance and integrate Research and Development capacity in and among Kuwaiti institutions to address national development priorities.
- Support innovation and assist in developing the required link to commercialization within a framework of an integrated Science, Technology and Innovation System.
- Support the development of the private sector's scientific and technological capacities and participate in building a knowledge-based economy.

## 1.2. The Research Directorate (RD)

The Research Directorate (RD) was established in 1977 to support the advancement of science and research within the State of Kuwait. The major objectives of the RD are currently aligned with KFAS' new vision, aimed at promoting effective scientific research, providing an adequate scientific culture to facilitate inter-disciplinary approaches at catalysing inventions.

The RD manages the following programs: Research Grant Program, Environmental Research Program and Water and Energy Program as well as the research components within other KFAS programs, centers and institutes.

The RD endeavors to accomplish KFAS objectives by implementing strategies, administrative and financial procedures, and by executing various activities in accordance with international benchmarking and certification.

## 1.3. Scope of the Research Grant Manual

The aim of this document is to provide comprehensive guidelines to assist 'eligible' applicants/researchers in submitting electronic or manual research grant applications. The document is also intended to guide grant awardees (post-award stage) by providing information related to KFAS research grant policy and procedures.

## 1.4. Eligibility

### Individual Eligibility:

- i. *Researcher Eligibility:* Researchers/scientists from the Kuwaiti Research & Higher Education (RHE) sector, governmental institutions, Kuwaiti Shareholding Companies (KSC) and non-profit organizations, are eligible to apply for research grants. However, all applications should be submitted through the institute/organization to which the applicant is affiliated.
- ii. *Student Eligibility:* Kuwaiti graduate students pursuing Ph.D. degree from national or international academic institutes are eligible to apply for supplementary research grants, provided the application is submitted through the affiliated academic institute.

### Institutional Eligibility:

- i. *National Institutional Eligibility:* Kuwaiti RHE sector, governmental institutions, KSC, and non-profit organizations may apply for research funding.
- ii. *International Institutional Eligibility:* Researchers/scientists from international academic and research institutes may apply for research grants, provided that the research project is submitted through and administered by a national (Kuwaiti) institute.

## 1.5. Grant Classification

The KFAS Research Grant Program offers the following funds for promoting effective scientific research within the diverse disciplines of basic and applied sciences:

- i. **Research Project Grant:** allocated to single research projects undertaken by a researcher or team of researchers (up to 3 years).
- ii. **Center Core Grant:** a fund for thematic research projects carried out within a center of excellence, or within multi-institutional or international joint research projects. This fund also facilitates researchers to utilize major national or international shared facilities (up to 3 years).
- iii. **Priority Research Grant:** allocated for projects under priority research areas of national strategic importance and are solicited under the programs.
- iv. **Exploratory Grant:** a fund with a grant ceiling of K.D. 10,000 per award. To initiate ideas for research, cover-up for pilot studies and also encourage exploratory research to enhance researchers' skills.
- v. **Graduate Student Research Grant:** awarded to Kuwaiti students enrolled in accredited universities and non-Kuwaiti students pursuing a Ph.D. at a Kuwaiti institute. It is a supplementary grant with a ceiling of K.D. 10,000 per award. It is provided to support research by graduate students pursuing Ph.D.
- vi. **Special Projects Grant:** Researchers cannot apply for this grant it is assigned by H.H. the Amir or KFAS Board.

## 1.6. Glossary of Common Terms Used

<b>Application:</b>	A written request for financial assistance to support research work.
<b>Applicant:</b>	The researcher/institute applying for KFAS research grant.
<b>Principal Investigator(s)/</b>	
<b>Project Leader(s) (PI/PL):</b>	The main researcher(s) or project leader(s) responsible for the project.
<b>Co-Investigator (Co-I):</b>	A researcher who assists the main researcher.
<b>Consultant:</b>	An expert whose advice is considered necessary for enhanced project outcomes.

<b>Peer-Reviewer/Referee:</b>	A qualified university professor or senior researcher (Ph.D.) with expertise in the same area of research as that of the proposed project, who is assigned to evaluate a research proposal or research project reports, in accordance with evaluation criteria.
<b>Grant:</b>	Fund provided by KFAS to the applicant
<b>Grantee:</b>	The researcher/institute that has been awarded with KFAS research grant or fund.
<b>Administering Institution/Beneficiary:</b>	The institute that is the direct recipient of the research project grant or fund and is responsible for the management and utilization of project fund until the completion of the research.

## **PART 2: RESEARCH GRANT APPLICATION**

### **2.1. Outline of Required Documents**

Research Grant Applications **must** include the following documents:

- i. Letter of Intent.
- ii. Duly filled Grant Application on the KFAS/RD website.
- iii. Updated, detailed Curriculum Vitae (CV) of Principal Investigator and brief CVs of Co-Investigators and consultants, if applicable.

KFAS must retain a hard copy of official signed documents which are sent in person or via mail.

Note: Graduate students have a different application form to complete (see KFAS/ RD website)

### **2.2. Letter of Intent:**

An official letter of intent from the applicant institution must formally state the intention to conduct the proposed research. It should include the research project title, both in Arabic and English, the type of research grant. As well as the name of the Principal Investigator.

### **2.3. Background (Guide to Form 1):**

**Project Title:** The research project title (in Arabic and English) should be concise, yet descriptive and it should reflect the nature and content of the proposed work. Once the proposal is approved by KFAS for funding, the project title cannot be changed, except with prior written consent from KFAS.

**Abstract:** A brief summary of the research (in Arabic and English) in no more than 500 words should include the research question, the rationale for the study, the hypothesis (if any), the approaches/ methods and the main anticipated findings.

**Subject Area/Keywords:** The applicant should choose the research subject areas and keywords relevant to the proposed research. Subject areas and keywords may be selected from the Kuwait University/KFAS/RD/Kuwait Research Area Booklet (can be found on the KFAS/RD website), if applicable.

### **2.4. Project Manpower (Guide to Form 2):**

A detailed outline of all team members and the percentage of time they will devote to the project. In addition, to the duration (months) and wages they are expected to receive for the project.

## 2.5. Task Schedule and Management Plan (Guide to Form 3):

**Tasks Schedule:** The applicant should provide a detailed time-frame that estimates how much work (listed as tasks) is expected to be accomplished during each year of the project period as indicated in the **KFAS/RD Grant Application**. The role and contribution of the Project Investigator and Co-Investigator(s) should also be stated here.

**Management Plan Template:** is required to be submitted by all applicants along with their proposal. The management plan should address the following points in detail:

- i. A description of the roles and responsibilities of manpower involved in the project. If applicable describe how their roles may change or evolve.
- ii. Describe any collaborations with other academic and/or research institutions and detail how the collaborations will take place.
- iii. Plans and procedures for training students and/or participants, if applicable.
- iv. Method of obtaining equipment.
- v. A timeline of the various stages of the project.
- vi. A procedure to handle possible modifications to the project.

## 2.6. Project Budget (Guide to Form 4):

**Budget:** A detailed, itemized statement of the funds (in Kuwaiti Dinars or equivalent currency) that are needed to undertake the research should be clearly indicated and explicitly justified. The distribution of annual budget must fall under three categories, namely, manpower, operation and capital expenses. During the evaluation process, the proposed budget cannot be changed. The information stated should be consistent with the data on **KFAS/RD Grant Application** (*ref. KFAS/RD website*).

**A. Manpower expenses** relates to the salary allocated for full-time or part-time research project staff. It should be commensurate with the qualifications, experience and actual time contributed by the project staff towards the research project. It is important to note that KFAS does not pay a researcher's salary.

Following are certain **budgetary constraints** on manpower expenses:

- i. For research projects by **governmental organizations**, manpower allocation should not **exceed 30% of total Budget contributed by KFAS**.
- ii. For projects by non-governmental organizations, it should not exceed 15% of total Budget contributed by KFAS.
- iii. Annual payment for part-time project staff should not exceed their six months' salary.

- v. **Temporary staff (laborers)** salaries for a project with a duration of 18 months or less should not exceed K.D. 1,500 per project. For a project with a duration of more than 18 months the temporary staffs' salary should not exceed K.D. 3,000 per project. If one temporary staff member is hired the salary cannot exceed K.D. 1,500 regardless of the project duration.
- vi. Budget should not include salaries of the PI/PL and the Co-Is who are from the same institution.
- vii. Payment for **seconded researchers** should not exceed 25% of their monthly salary. Seconded researchers are from higher RHE institutes and their work should be equivalent to one working day per week.

**Table 1: Criteria for Manpower Hired During the Project**

<b>Research Project Staff</b>	<b>Qualification/ Classification</b>
Post Doctorate/Research Associate	Ph.D.
Senior Research Assistant	Master's degrees
Research Assistant	Bachelor's degree
Senior Technician/Research Technician	Bachelor's degree/higher diploma and 5 years of experience in relevant field
Technician	Bachelor's degree/higher diploma
Assistant Technician	Scientific diploma
Other staff	Any other staff not within the above
Temporary Staff	Employees on support contract/seconded staff

- B. Operating expenses** refer to the funds that are needed for project operations during a specific period of time. They account for the following costs:
- i. *Consumables* that include materials and supplies that are necessary for the execution of the project (e.g. chemicals, animals, gadgets, computer software, etc.).
  - ii. *Service charges* that relate to the cost of shared equipment (available locally or internationally), lab facilities, general facilities, special technical fees, rental charges, etc. Applicants utilizing existing facilities and equipment must attach a formal letter from the participating institutions granting permission to use the resources for the research project.
    - a. With regards to Transportation (cars, trucks, boats etc.) projects with a time frame of less than 18 months have a limit of K.D. 2,000 (including gas) for the entire duration of the project. Projects with a time frame of more than 18 months have a limit of K.D. 4,000 (including gas) for the entire duration of the project.

- iii. *Research-related travel* refers to the costs for conference/technical meetings/workshop attendance, scientific missions, consultation visits, etc. All requests for such travel should be well justified by listed reasons, in view of the project work. Research-related travel is limited to one mission and one person per year. Researchers of governmental Institutions and/or Universities should follow their Institution's rules and regulations regarding research-related travel.
- iv. *Consultation* fees for visiting experts or local consultants are governed by the following regulations:
- The **number** of experts/consultants permitted for a single research project (with a duration of more than 18 months) is **limited to two** international consultants or up to four local consultants; projects **with less duration** can appoint only one international consultant **or up to two** local consultants.
  - The **duration** of a consultant's visit should be between five and ten working days.
  - The **total budget allocation** for consultants should include travel (airfare), accommodation, and consultation fees.
  - **Consultants are not entitled to include their names as authors or co-authors for any publications/scientific papers that are outcomes of the funded research.**
- v. *Project-related expenses for printing and publications should up to K.D. 1000 for the entire project.*

**C. Capital expenses** relate to the total fixed amount allocated for purchasing equipment, research tools and research facilities needed for project work. The proposal should specify all the equipment needed for the project, providing valid justifications for their use. All requests for equipment (particularly those exceeding K.D. 10,000) should be supported by a **formal letter** of request by the applying institute.

## **2.7. Expenditure Justification (Guide to Form 5):**

Researchers should provide a detailed list of operating expenses and capital expenditure. This list should be well justified.

The operating expenses may include the following:

- i. Materials and supplies
- ii. Service charges
- iii. Facilities
- iv. Computer software
- v. Publication fees

With regards to capital expenditure:

- i. The researcher is required to check with other research institutions to ensure that the equipment requested is unavailable elsewhere. If available and accessible at another research institute KFAS will not purchase the requested equipment.
- ii. If the researcher is unable to reach the research institute in question for the equipment they may contact KFAS who will contact the set institute.
- iii. If the institute requires rent for the equipment that will need to be detailed in the operating expenses section.
- iv. If unable to rent the needed equipment the researcher is required to list the needed equipment, along with the justification and cost. The researcher should provide the name, specification, manufacturer, and model details for the required equipment., to aid KFAS's equipment funding decision.

## **2.8. Progress Report (Guide to Form 6):**

This form requires the PI/PL to fill out the number of progress reports throughout the project. Generally, one progress report is required for every year of the project. The progress report should offer a brief description of the report contents in relation to the project schedule. The progress report should also outline the period covered from the start of the project, and the progress report's due date.

## **2.9. Additional Information (Guide to Form 7):**

**Questions:** is a continuation of other projects, can the equipment be shared with other on-going projects, and if the project has been previous submitted to other institutions. The PI/PL is required to answer the following questions and provide an explanation, if applicable.

**Ethical committee approval** is for research conducted within the Medical Sciences field whereby approval is needed to ensure the integrity and privacy of research pertaining to humans.

## **2.10. Certification Page (Guide to Form 8):**

The PI/PL and Co-I(s) are required to sign this form, acknowledging that all the information provided is true and complete. In addition to recognizing that it is their responsibility to make sure all tasks are completed within the set time frame and that progress reports are submitted on time, before, finally, accepting KFAS's Code of Conduct (refer to section 4.6 of this manual).

## 2.11. Research Proposal Contents

The quality of a research proposal determines the funding potential of a research project. The applicant should carefully address issues of grammar, spelling, layout and format of the research proposal and adhere to the following guidelines while preparing the research proposal document and filling out the KFAS/RD Grant Application (*see KFAS/RD Website*):

**Table of Contents:** The table of contents should contain all entries of the proposal document contents as well as page numbers.

**Introduction/Background:** The main purpose of this section is to provide the necessary background and context for the research problem(s), with focus on the specific research question and hypothesis. The appropriate historical background (literature review) of the proposed problem or issues should be supported by the most relevant and recent references, thus emphasizing the significance of the project.

**Objectives:** The objectives of the research project should summarize what is to be achieved by the study, focusing on the research question and hypothesis. The objectives should systematically address the various research questions and specify the anticipated findings and their impact on the research problem.

**Research Methodology:** This section is very important and it should explicitly explain how the research problems will be tackled. The PI(s)/PL(s) must describe in a logical order, exactly what the PI(s)/PL(s) proposes to do, and they must justify that the methods chosen are appropriate to the specific objectives. The methodology should explicitly address different approaches, designs, procedures and methods that will be used by the applicant to investigate the research problem.

**Importance of the Research Outcomes:** The applicant should clearly state the benefits of conducting the proposed research. This will include a discussion of how the proposed research will advance scientific discovery and understanding. This will also include how the research will benefit individuals, organizations and the State of Kuwait.

**Anticipated Research Outcomes:** The application must clearly indicate the expected outputs of the research study. PI/PL must indicate the scientific impact of the study in terms of publications in international journals emanating from the study, conference presentations, patents, etc.

**References List:** All sources that are cited in the research proposal must appear in the reference list. This list may include references to scientific books, journals, technical reports, thesis, etc. The reference list should be arranged in **numerical order**, according to the order of their appearance within the text of the proposal document. Each reference should contain the author's surname, initials, year of publication, title, journal volume, page numbers, etc. as per standard format.

**Appendices:** This section is optional. Appendices serve the purpose of providing additional information. These include, for example, questionnaires, permission letters, covering letters, consent forms, copyright permission, abbreviations, acronyms, nomenclature, terms, etc. Supplementary colored charts and graphics can also be placed in the appendix the important figures should be included in the relevant sections of the application.

### **2.12. Actual Expenditure (Guide to Form 9):**

The PI/PL is required to complete an actual expenditure form upon completion of the project. This form outlines the actual amount of money spent during the entire duration of the project. It should be signed by the PI/PL and the Institution's manager.

### **2.13. Curriculum Vitae (CV):**

An updated and detailed CV for the Principal Investigator and a brief CV for the Co-Investigator(s) and Consultants should include the educational qualifications and latest publications **relevant to the project**, so as to enable reviewers to evaluate the researchers' capabilities to manage the project.

The CV **should not exceed 4 pages** be in the format highlighted in section 2.7 and contain the following information in the set order:

- i. Applicant's general information
- ii. Educational background
- iii. Professional experience
- iv. Relevant publications
- v. Other relevant information

The brief CV **should not exceed 2 pages** be in the format highlighted in section 2.7 and contain the following information in the set order:

- i. Co-investigator(s)/ consultant(s) general information
- ii. Educational background
- iii. Professional experience
- iv. Relevant publications

### **2.14. Major Responsibilities of the Applicant/Applicant Institute:**

It is the responsibility of the applicant to ensure the following:

- i. Uphold the quality of research to the maximum.
- ii. Promote objectivity in research by avoiding any bias and declaring conflict of interests, if present, whether financial or personal, on the part of applicant institute or investigator.
- iii. Maintain the ethics and integrity of research by providing true, complete and accurate information in the application and other project-related documents.

- iv. Comply with KFAS grant/contract terms and conditions related to budget, patents, copyrights, inventions, confidentiality, security, etc.
- v. Specify the funds required from KFAS if the project will use the facilities from a national/international institute, while also ensuring its availability. Approval from the concerned institute should be attached.
- vi. Principal funding applicants must ensure that other funding institutes listed in the application have agreed to be included.
- vii. Comply with all rules, reporting requirements and deadlines, as stipulated by KFAS.

Failure to submit the complete Grant Application documents will result in the withdrawal of the same by KFAS. Please note that KFAS's RD has a time limit of 3 weeks for Grant Application documents. All applicants will be informed via email that the documents have been sent to their establishment. The researcher is then required to follow-up within the allocated time frame of 3 weeks.

*Please Note: The signature of the institutional authorities on the grant application signifies that the applicant institute fully complies and agrees with KFAS rules and regulations for research funding, in ensuring appropriate management of funds, in promoting responsible conduct of research, in maintaining confidentiality in striving to provide an environment that supports the best research, in fostering researchers' abilities to act honestly, accountably, openly and fairly, and in the dissemination of knowledge and accountability of the entire research.*

## **2.15. Supplementary Documents Format/ Layout:**

The following technical layout for the research proposal is recommended:

*Typescript:* Research proposals must be typed on A4 paper, one side only.

*Font style:* Arial or Times New Roman, size 12, normal

Paragraphs - justified, size 12,

Main headings – bold, centered, size 14.

Sub-headings - bold, left aligned, size 12.

*Margins:* Top and bottom margin - 2 cm

Left margin - 3 cm Right

margin - 1.5 cm Line

spacing: 1.5 lines.

## **2.16. Submission of Grant Application**

Principal Investigators/Project Leaders or institutes that wish to apply for KFAS Research Grants must address their application to the KFAS Research Directorate Director and submit the application directly to the following address:

**The Research Directorate Director,  
Kuwait Foundation for the Advancement of Sciences,  
P.O. Box 25263, Safat 13113  
State of Kuwait.**

## **PART 3: EVALUATION PROCESS & CRITERIA**

All research grant applications will be subjected to systematic internal and external review processes, in accordance with international scientific standards. The Research Directorate (RD) at KFAS will first conduct an in-house screening/review of the research proposal to ensure its conformity to KFAS-stipulated rules and regulations for research grants. The application will then be submitted to scientific experts (peer reviewers) for evaluation of scientific and technical merits.

Generally, at least three scientific experts/reviewers are needed to review a project. The Exploratory Grant mostly requires one referee and the Graduate Student Research Grant is reviewed by the student's supervisor(s). Mega-projects are reviewed by an expert panel.

Grant applicants are expected to abide by the standard regulations stipulated in this Research Grant Manual while writing a research proposal. The review criteria will be used as the evaluation standard to assess the feasibility of a research proposal and its merit or relevance, in order to be funded.

### **3.1. Internal Review:**

Initially, a general evaluation of grant applications will be conducted in-house by the Research Evaluation Committee (REC) and designated RD staff, screening each application for eligibility, completeness and conformity to KFAS-stipulated rules and regulations for research grants.

### **3.2. External Review/Peer Review**

The second level of application evaluation will be undertaken by peer-reviewers or scientific experts who are specialists in a specific scientific discipline. Peer reviewers are selected, based on their qualification, academic rank, sound experience in their field of study as well as in evaluating projects in their specialty. KFAS ensures that all intellectual property rights are upheld by the reviewers.

The following five criteria will be used to evaluate research grant applications. Questions listed below each criterion, when applicable, will be considered during the review of the application.

#### **1. Originality (10 points):**

Does the project have the potential to create new knowledge? Is the proposed research project original in terms of the hypotheses, research questions, technology and/or methodology? Does the proposed research address a significant need or gap in the field?

**2. Scientific Merit (40 points):**

- i. Does the proposal contain a substantial review of related literature and published studies with appropriate citations? Does the proposal demonstrate how the proposed research relates to prior work in the field?
- ii. Does the proposal state the research hypotheses? Are the project objectives clear, appropriate, and relevant to the hypotheses and desired outcomes? Does the project address an important problem in the field?
- iii. Are the proposed methodologies current, appropriate and achievable? Are risky steps identified and have appropriate contingency plans been included? Will the proposed methodologies achieve the project objectives? Has preliminary work been performed that supports the project hypothesis?

**3. Path to Success (30 points)**

- i. Does the research team (PIs/PLs, Co-Is and other personnel) possess adequate skills and knowledge to successfully perform the proposed research? Are the appropriate personnel included in the proposal? In collaborative projects, are plans for collaborations clearly laid out?
- ii. Are adequate resources and facilities available for the successful completion of the project?
- iii. Is the management plan appropriate? Does the work plan clearly identify tasks and the personnel responsible for each task? Is the proposed budget and financial plan realistic and well-justified? Is the proposed time-frame for the tasks and deliverables appropriate?

**4. Expected Outputs of the Proposed Work (10 points)**

Does the proposed research have the potential for publication of scientific papers, manuscripts, or conference presentations? Is there the potential for high-impact outputs, such as publications in international journals?

**5. Significance and Relevance to Kuwait and the KFAS Mission (10 points)**

- i. If the aims of the project are achieved, how will scientific knowledge, technical capability, clinical practice and society be improved both internationally and in Kuwait? Do the proposed objectives address national priority areas and needs as well as KFAS' new mission?
- ii. In accordance with KFAS' strategic thrust (ST2), which focuses on enhancing and integrating R&D capacity in and among Kuwaiti scientific institutions, it is vital that the project provides scope for strengthening the Kuwaiti research capacity at the applicant institution. Does the proposed project include relevant plans for training young Kuwaiti researchers and end-users of the research results?

### **3.3. Research Directorate Review Analysis**

- i. National Priority as called for by KFAS
  - a. There will be a list of topics deemed to be of national priority according to KFAS.
- ii. Multi-institutional and national/ international collaborations
  - a. KFAS will favor these types of collaborations
- iii. Interdisciplinary collaborations
  - a. KFAS will favor collaborations that draw upon different fields and backgrounds of study
- iv. Budget
  - a. A thoroughly justified budget
  - b. Other intuitions that will or have already contributing to the research project
- v. KFAS's previous (if applicable) record of the researcher or research groups

### **3.4. Post-Review Decision**

The peer reviewers will rate the proposed research based on the specific peer-review criteria described in the review instructions. The reviewer will indicate if the application is (a) recommended for funding, (b) needs modification, or (c) is not recommended for funding. **The beneficiary will be given 3 weeks to modify the research proposal and resubmit it to KFAS.** KFAS will then review the proposed research based on internal review criteria which includes research priority and the impact of the project's outcomes on society.

Funding decisions will be made by KFAS and will rely heavily on reviewers' recommendations. Once funding decisions have been made, the application will be either: 1) approved, 2) returned to the applicant with a request for modifications and a resubmission deadline, or 3) rejected. This decision will be sent to the researcher in the form of a formal letter.

### **3.5. Progress and Final Report Peer Reviews**

All annual progress reports and/or final report will be sent for peer review. **The reviewer will indicate if the progress report or the final report needs modifications. The beneficiary will be given 3 weeks to modify and resubmit the progress report or the final report and resubmit it to KFAS.** However, the peer review process will be waived if the project outcomes have been published in a peer reviewed journal.

## **PART 4: RESEARCH GRANT CONTRACT AND MODIFICATIONS**

### **4.1. Research Grant Contract**

When a project is approved for a research grant by KFAS; the beneficiary's acceptance is sought on the matter of grant conditions, submission of project progress reports and dates of payment. The research grant contract is a legal agreement that is signed and sealed by KFAS and the administering institution/ beneficiary of the grant.

The grant contract comes into effect when it is counter-signed by KFAS Director General or the designated representative. Grant awards are governed by grant conditions stated in the contract. The starting date for the project is set by the PI/PL.

The applicant must return the signed grant letter and the signed contract within 3 weeks from the date of dispatch of the grant instrument.

#### **Grant Conditions**

All research grants are subject to the following conditions:

- i. The beneficiary should strictly adhere to the scientific, administrative and financial matters of the project, as specified in the proposal and as per the conditions stated in the Grant Manual.
- ii. As stipulated in the grant contract and as per KFAS guidelines progress reports should be submitted promptly.
- iii. In the case of extenuating circumstances that render project changes inevitable, sufficient information should be provided to enable KFAS and the beneficiary, to revise objectives, plans and resource requirements. The beneficiary should not undertake any unilateral steps to effect these changes without the approval of KFAS.
- iv. There are specific conditions that apply to acknowledgements. The beneficiaries must acknowledge KFAS' support in all literature and scientific publications, conference papers, etc. resulting from the project and also provide a copy to KFAS. The acknowledgement section should cite in full the name of the foundation and the project code. KFAS would also like to be informed of any future publications.

#### **Ownership**

KFAS notes that proposals submitted by research institutions are the intellectual property of these institutions and not KFAS.

- i. Information which, in the opinion of KFAS and the beneficiary, is of a privileged nature will be regarded as confidential.
- ii. Proposals which have been declined by KFAS will not be made available to a third party for review, without the prior consent of the proposer.

## Site Visits

Under certain circumstances, KFAS may decide to visit the project site for evaluation of the project. The assessment report produced may then be used for future reference, if necessary.

The visits generally consist of:

- i. up-to-date examination of the project;
- ii. review of plans for the future, including funds and other resource requirements.

## 4.2. Request for Additional Funds/ Budget Reallocation

KFAS will consider unforeseen circumstances or financial problems which may cause unexpected developments during the course of the project that may demand additional funds/ budget reallocation for the continuation of the project.

Additional funds will be granted only to cover manpower and operational expenses, not capital expenses.

Additional funds will be granted only once during the project execution, and it shall not exceed 30% of the original grant. The request for additional funds should be submitted no later than the third quarter of the project completion date.

Any changes to the project objectives or plan will be subject to review by KFAS prior to approval. Research Forms should be re-submitted by the project leader with the relevant modifications. Upon approval a new contract will be drafted.

Applicants must verify that the request for additional funds include the following:

- i. Letter of Request: Request for additional project funds should be submitted in an official letter, signed by an authorized official at the administering institution. It should be addressed to KFAS Research Directorate Director, along with the project title and code.
- ii. An additional funds request form should be filled and it should include the following:
  - a. A clear justification for the additional funds, including the unforeseen circumstances that led to the request.
  - b. The remaining funds should be specified. These funds should be reallocated along with the corresponding project modifications.
  - c. Confirmation should be made that the requested additional funds will cover the remaining project expenses.
- iii. Project Forms should be attached to the letter of request and the new changes highlight.

### **4.3. Project Extension**

When a project cannot be completed within the set time frame due to unforeseen circumstances, KFAS permits an extension of the allocated time period to ensure project completion. The beneficiary should submit an official request of extension, no later than 3 or 6 months prior to the project end-date stated on the contract. If a project's duration is less than 18 months an extension request must be submitted, at least, 3 months prior to the project deadline. If a project's duration is more than 18 months an extension request must be submitted, at least, 6 months prior to the project deadline.

The extension period should not exceed one third of the total project time.

Approval for project extensions will be based upon the nature of the project and validity of the request.

- i. Letter of Request: Request for project extension should be submitted in an official letter, signed by an authorized official at the administering institution. It should be addressed to KFAS Research Directorate Director, along with the project title and code.
- ii. An extension request form should be filled and it should include the following:
  - a. A clear justification for the additional time, including the unforeseen circumstances that led to the request.
  - b. Clear evidence should be provided, from the progress thus far and the authors' experience in the field of research, that the project will not be completed on the proposed date.
  - c. The request for project extension should be submitted 3 or 6 months (depending on the project) prior to the project end-date.
  - d. The remaining balance, which has not yet been transferred to the beneficiary, must be specified. The extra time (in months) should be reallocated along with the corresponding project modifications.
- iii. Confirmation that the outstanding amount will cover the extended project period.

C. Project Forms should be attached to the letter of request and highlight the new changes.

### **4.4. Project Suspension**

In the case of unforeseen circumstances whereby the project may no longer be carried out at the set date, the beneficiary should submit an official request to suspend the project, which will later be resumed. In exceptional cases, a project may be suspended only once. The suspension period cannot last for more than half the total project period. The request forms for suspension are same as the project extension forms (section 4.3). the decision to suspend a project is always communicated through an official letter.

## **4.5. Project Cancellation**

While reviewing a project's progress and proposed plans, KFAS retains the right, to cancel a project grant partially or fully during its implementation stage, as per the grant conditions.

Generally, failure to submit progress reports as per the contract will lead to cancellation of a project. If a project fails to comply with the terms and conditions of the contract, KFAS will initially issue two notices on the issue of non-compliance, after which it will send two warning letters with an interval of one month each (a total of 4 months).

The decision to revoke a project is always communicated through a notification letter to the administering institution. The revocation becomes effective from the letter's date of issue.

All expenditures and funding commitments up to the date of revocation will be honoured, as long as KFAS deems they have been made during the normal course of the project.

Commitments are contractual agreements, that adhere to the allocated budget, signed and approved by both KFAS and the beneficiary. The commitments govern the progress of work and must be completed in a timely manner. Verbal agreements to commit to funds will not be honoured by KFAS.

All conditions governing the ownership of documents and equipment as described in the section on *Conditions for Grant Award*, will apply to the revocation or cancellation of grants.

## **4.6. Code of Conduct**

The Code of Conduct outlines the acceptable standards of practice that should be upheld by grant applicants.

### **i. Conflict of Interest**

It is impermissible for any active KFAS employee and consultant to receive research grants.

Relatives of KFAS employees refers to parents, siblings, spouses, and/or children of KFAS employees. Full disclosure is required of any KFAS employee's direct relative applying for a research grant. A KFAS employee handling their relative's application may result in a termination of the grant. Employees should act impartially towards any KFAS employee's family member/s seeking grants.

Full disclosure is required of family members working on a single research project. Family members refers to parents, siblings, spouses, children, aunts, uncles and/or cousins. KFAS requires the CV of every family member that will be hired on a research project in order to ensure their eligibility.

A conflict of interest may exist if one or more of the referees are research collaborators, were ex-collaborators, former university advisors and/or family members.

ii. Plagiarism

Ensuring intellectual property rights are venerated is essential to KFAS. Plagiarism involves the use of any original ideas, words, equations, computational codes, illustrations, and/or paraphrasing sentences without proper citation of another individual and using them as their own.

iii. Potential Financial Gain

Potential researchers or current researchers receiving grants are not permitted to offer KFAS employees financial compensation.

iv. Unforeseen Circumstances

In the case of unforeseen circumstances whereby a researcher has received the grant and is unable to carry out the research proposed, and no other researcher is available to complete the project, the researcher's place of employment and /or organization are liable.

Extenuating circumstances include but are not limited to:

- Death of the researcher
- Retirement
- Sickness of researcher or dependent family member
- Legal problems

## **PART 5: PROJECT OUTPUTS**

### **5.1. Progress Reports**

The beneficiary is legally bound by the grant contract to submit periodical project reports. Progress reports should be submitted annually, unless otherwise specified. They should be submitted as both a soft and hard copy. Submission of the progress reports, in a timely manner, ensures the prompt execution of the technical and/or financial aspects of the proposal.

Payment provisions are subject to report evaluation. It is therefore the beneficiary's responsibility to ensure that progress reports are submitted on the dates specified in the grant contract. KFAS releases the payments only if the proposed objectives and tasks for the set time frame are achieved.

The contents of a progress report should include the following:

**Title Page:** The title page should state the project title, institution, name(s) of author(s)/researcher(s), project code, and submission date.

**Table of Contents:** This section should itemize all the sections within the report.

**Abstract:** Is a brief summary of the project's progress thus far. It should be limited to 500 words and presented in both English and Arabic.

**Introduction:** This section should provide a brief background of the project.

**Technical Content:** It represents the main part of the report and includes a descriptive narration of the tasks undertaken during the set period. It should include the objectives addressed and the methodology used during the implementation of the project, including (if applicable) tables, graphs, and original graphics.

**Progress Output:** This section should present the results and the relevant discussion. The author(s) must explicitly state if results could not be achieved or were only accomplished in part.

**Amendments:** Reasons for the delay in report submission or an inability to address specific objectives, if any, should be mentioned.

**Future Plan:** Prospective tasks that will be addressed may be cited here.

**References:** Should include references to scientific books, journals, technical reports, thesis, etc. The reference list should be arranged in **numerical order**, according to the order of their appearance within the text of the progress report. Each reference should contain the author's surname, initials, year of publication, title, journal volume, page numbers, etc. as per standard format.

**Appendices/Index:** This section is optional. It deals with additional information that the author(s) wish to attach to the report, such as maps and/or detailed tables.

## 5.2. Final Report

KFAS Grant Contract stipulates that upon the completion of a research project, the beneficiary should submit a detailed report of all accomplishments, in accordance with the proposed plan. The final report should explicitly state that the project has been fully executed. The report should include the complete report with objectives, methodology, recommendations, references and an acknowledgement section.

Three copies of the final report along with the project code, and a letter from the administering institution addressed to the Director General of KFAS , should be submitted.

The Final Report should include a cover page (downloadable from the KFAS/ RD website) and the following:

**Title Page:** The title page should state the project title, institution, name(s) of author(s)/researcher(s), project code, and the date of actual project completion in both Arabic and English.

**Acknowledgement:** The report should acknowledge KFAS's support, providing the full title of the Foundation, along with the project code.

**Table of Contents:** This section should itemize all the sections within the report.

**Abstract:** Should not exceed 500 words highlighting the project's undertakings, methodologies, final findings and its benefit to the State of Kuwait. It should be summarized in both English and Arabic. The abstract should provide the reader with a good overview of the entire project without the need to refer to other sections.

**Executive Summary:** Should be between 1-2 pages written in Arabic and English. It should summarize the entire project without the need to refer to other sections.

**List of Tables/ Figures:** List of all figures, tables, charts, graphics and illustrations used in the report should be attached to the report.

**List of Symbols:** Scientific symbols used in the report may be listed.

**Technical Description:** Is the main part of the final report which should contain all the technical details of the tasks undertaken, objectives addressed and methodology used. It should, also, include tables, original graphs and charts.

**Final Outcome:** The final report includes the scientific accomplishments, in accordance with the project objectives and the contributions made towards the advancement of sciences. It should contain the final detailed project results and discussion of those results, along with the relevant tables, figures and methodology.

**Recommendations:** should include references to scientific books, journals, technical reports, thesis, etc. The reference list should be arranged in **numerical order**, according to the order of their appearance within the text of the final report. Each reference should contain the author's surname, initials, year of publication, title, journal volume, page numbers, etc. as per standard format.

**Beneficiaries:** This part should identify a benefit plan of the project's findings and recommendations. It should also state the individuals who would benefit from the project results.

**Publications & Patents:** The final report should include detailed information on:

- Publications <sup>i</sup>
- Patent registration numbers
- Conference and/or seminar participation

**References:** Scientific citations of publications/journals/conferences should be stated in the following format: author(s) name, publication year, title, publisher, volume, and page number/s (for magazines and scientific journals).

**Research Form 10:** All final reports should include statements of actual project expenses, balance amount and alterations to the approved budget, if any. See Appendix Form 10.

A soft copy of the final report should be submitted on a CD to KFAS for publication purposes. The published copy will be archived at KFAS for future references.

### **5.3. Progress Write-Up**

Every year KFAS requests the project leader to submit a project progress abstract for publication in the Annual Report. The abstract should be no more than a page.

The scientific article related to the ongoing research project should include a project summary and progress. For the summary the author should provide a brief description of the objectives addressed. As for the project progress, the article should contain all the scientific accomplishments undertaken until the end of the year concerned. The author(s)/researcher(s) should provide KFAS with a current list of project's publications.

### **5.4. Technical Article**

For the purpose of publication in the Research Directorate's Annual Report, the project leader should submit a scientific article of the completed project. The article should include a research abstract in Arabic and English along with the project's findings and recommendations. The abstract should contain a brief description of the project's objectives and methodologies. All major findings and recommendations at the national scientific level may be noted in this section. The author(s)/researcher(s) should provide KFAS with a full list of the project's publications.

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<sup>i</sup> Please refer to consultation fees on page 8 for more information on publications.