



# DAU's Policies & Procedures Manual



General Directorate of Planning, Development and Quality Assurance

DAU © 2023



# بِسْمِ اللَّهِ الرَّحْمَنِ الرَّحِيمِ

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## Introduction



With the evolution of its vision, mission, and strategic objectives, Dar Al-Uloom University (DAU) has revised and enhanced its policies and procedures to create a framework that encompasses its educational philosophy, curriculum, rules, and regulations, as well as to ensure their effectiveness.

Academic and administrative matters are covered in these updated policies and procedures, including management and governance, quality assurance, education, faculty and staff, students, learning resources, information technology, finance and risk management, scientific research, and community engagement. DAU's policies and procedures comply with the regulations and systems established by relevant authorities, as well as the standards set by academic accreditation bodies.

To ensure that the policy and procedure manual is transparent and inclusive, the General Directorate of Planning, Development, and Quality Assurance has implemented a collaborative review process by involving the Policy Development Committee, Policy Review Committee, Quality Assurance Directorate, and various DAU's stakeholders. A wide dissemination of the manual is conducted through various communication channels to raise awareness among all DAU stakeholders.

The following table summarizes the DAU's policies within each category:

| Policy Category                                       | Code      | Number of Policies |
|---|-----------|--------------------|
| Mission, Organization and Governance Policies         | DAU 1-00  | 10                 |
| Quality Assurance Policies                            | DAU 2-00  | 5                  |
| Educational Programs Policies                         | DAU 3-00  | 25                 |
| Faculty Members and Administrative Staff Policies     | DAU 4-00  | 23                 |
| Students' Policies                                    | DAU 5-00  | 22                 |
| Learning Sources Policy                               | DAU 6-00  | 1                  |
| Physical and Technological Resources Policies         | DAU 7-00  | 9                  |
| Fiscal Resources and Risk Management                  | DAU 8-00  | 8                  |
| Public Disclosure and Integrity Policies              | DAU 9-00  | 4                  |
| Scientific Research and Scholarly Activities Policies | DAU 10-00 | 5                  |
| Community Engagement Policies                         | DAU 11-00 | 5                  |
| <b>Total</b>  |           | <b>117</b>         |



# DAU 1.0

## Mission, Organization and Governance Policies



## DAU-1-1 DAU Vision, Mission, and Values Policy

| Policy Code  | Policy Name                      |                    |  |
|--|----------------------------------|--------------------|--|
| DAU 1-1  | Vision, Mission, and Core Values |                    |  |
| Responsible Executive  | Current Revision Date            | Next Revision Date |  |
| General Directorate of Planning, Development and Quality Assurance | 10/2023                          | 10/2027            |  |

### 1. Policy Purpose

This policy serves as an informative document that outlines the vision, mission, and values of Dar Al Uloom University (DAU) for both internal and external stakeholders.

### 2. Policy Scope

All Internal and External Stakeholders of DAU.

### 3. Policy Statement

#### DAU Mission Policy:

- DAU's mission defines its purpose, aligning with its nature, the needs of the community, and national trends.
- DAU's goals are directly linked to its mission and are clear and realistic.
- The mission and goals of DAU are formally approved by the University Council and Board of Trustees.
- The mission of DAU serves as a guiding principle for all institutional operations, including planning, decision-making, resource allocation, and academic program development.
- DAU upholds a set of values that guide the work and behavior of its employees.
- The mission statement of DAU is published in various university publications such as the DAU Undergraduate and Graduate catalogues, Faculty Handbook, the university website, and other relevant materials.
- The mission statement undergoes a review process during each strategic planning cycle.
- The mission statement of DAU reflects a consensus among stakeholders, achieved through a comprehensive consultative process involving faculty members and academic administrators.
- The mission statement of DAU is reviewed and updated every five years.
- The university's mission statement serves as the foundational basis for strategic planning at DAU.

**DAU Vision Statement:** "To be a world-class university"

**DAU Mission Statement:** "To inspire professional and personal success of our graduates through excellence in education, research, and community engagement"

#### DAU Values

- *Academic Excellence:* A commitment to providing quality and excellence in all educational processes.
- *Innovation and Creativity Nurturing:* A commitment to the development of original ideas and innovative approaches to solving complex problems.
- *Knowledge Empowerment:* A commitment to the expansion and deepening of knowledge to give graduates greater power over both their professional and personal lives.
- *A Welcoming Community:* A commitment to maintaining a strong sense of community among students, faculty, and staff.



- **Fostering Ethical Conduct:** A commitment to providing a values-based education and to promote the development of ethical judgment and behavior.

#### DAU Strategic Goal and Objectives

- **Strategic Goal 1: Build State of the Art Learning Environment:**
  - Strategic Objective 1.1: Enhancing Staff's Competences, Development, and Satisfaction.
  - Strategic Objective 1.2: Advancing IT Tech. and DAU's other Infrastructures.
  - Strategic Objective 1.3: Modernizing Learning Resources.
  - Strategic Objective 1.4: Nurturing a Conducive Organizational Culture.
- **Strategic Goal 2: Develop Excellent Learning Processes:**
  - Strategic Objective 2.1: Enhancing the Quality of Educational Processes.
  - Strategic Objective 2.2: Increasing Productivity in Research Process.
  - Strategic Objective 2.3: Enhancing Engagement with the Community.
  - Strategic Objective 2.4: Improving Operational Effectiveness.
  - Strategic Objective 2.5: Promoting Entrepreneurship, Innovation and Knowledge Transfer.
- **Strategic Goal 3: Promote Stakeholders' Satisfaction and DAU's Image:**
  - Strategic Objective 3.1: Increasing Stakeholders' Satisfaction.
  - Strategic Objective 3.2: Developing New Services.
  - Strategic Objective 3.3: Enhancing DAU's Image and Reputation.
- **Strategic Goal 4: Enhance DAU Financial Performance:**
  - Strategic Objective 4.1: Increasing Admission and Enrolment.
  - Strategic Objective 4.2: Diversifying Income Sources.
  - Strategic Objective 4.3: Reducing Cost of Operations and Improving Assets Utilization.

#### 4. Related Policies/ Documents/ Forms

DAU 1-2 DAU Mission Development, Approval and Review Policy.  
DAU 1-3 Planning Policy.

#### 5. Document History

| Version | Issue/Rev. Date | Updated Information/ Summary of Changes  |
|---------|-----------------|--|
| 1       | 2017            | 1 <sup>st</sup> issue of the policy  |
| 2       | 10/2023         | Clarifying the DAU's New: Vision, Mission, Values, Strategic goals, and Strategic Objectives |

## DAU 1-2 DAU Mission Development, Approval and Review Policy

| Policy Code  | Policy Name   |                    |  |
|--|---|--------------------|--|
| DAU 1-2  | DAU Mission Development, Approval and Review Policy |                    |  |
| Responsible Executive  | Current Revision Date                               | Next Revision Date |  |
| General Directorate of Planning, Development and Quality Assurance | 10/2023   | 10/2027            |  |

### 1. Policy Purpose

This policy outlines the coordination process undertaken by the General Directorate of Planning, Development, and Quality Assurance for reviewing the DAU mission statement. The objective of this policy is to establish the procedures, processes, and responsibilities involved in the regular review and revision of the University's mission statement and overall strategic plan, as and when necessary due to changing needs or circumstances.

### 2. Policy Scope

This policy is applied to all stakeholders of DAU, including university leaders, faculty members, administrative staff, students, alumni, employers, parents, and the external community associated with the University.

### 3. Policy Statement

Dar Al Uloom University (DAU) is dedicated to conducting regular reviews and updates of the University's Mission Statement and Strategic Plan as necessary to align with the evolving environment and needs. It is crucial to effectively communicate all changes to all stakeholders. To ensure that the DAU Council is adequately informed of any proposed modifications to the DAU Mission Statement, this section defines the distinctions and requirements for the proposal, including "modification," "expansion," and "new" Mission. The proposed changes should adhere to the comprehensive Mission Statement requirements outlined below.

#### Types of Mission Changes

**A. Modification:** refers to a change to the text of the Mission statement, proposed solely for revisions for clarity and grammar use, rephrasing (e.g., minor word changes), editorial changes, and restatement that would not alter the institution's nature/character, purpose/function, type, and degree levels offered or curricular offerings.

**B. Expansion:** refers to a change to the text of the Mission Statement including the addition of text, proposed solely to expand the institution's focus (e.g., to increase research or outreach efforts), that would not alter the institution's nature/character, purpose/function, type, and degree levels offered or curricular Specification.

**C. New:** refers to a substantive change to the current Mission statement that results in a new mission that would alter the institution's nature/character, purpose/function, type, or degree levels offered or curricular Specifications (e.g., adding medical education or changing the focus from undergraduate education to graduate education).

#### DAU Mission Review Time Frame

The DAU mission undergoes a regular review cycle, typically spanning from three to five years. However, if there are significant developments at the national, regional, or global levels that necessitate an earlier review, the time frame may be adjusted accordingly.

### Stakeholder Participation

The participation of all internal and external stakeholders is encouraged to express their opinions during the formulation of the Mission if it undergoes modification or changes. This involvement is facilitated through appropriate means such as surveys, representative groups, personal interviews, and other suitable methods.

### DAU Mission approval

The updated wording of the Mission statement is subject to approval by the University Council. This approval may involve either approving the Mission statement alone or approving it as part of the university's strategic plan if the strategic plan is being updated and approved concurrently. Once approved by the University Council, the Mission statement and strategic plan are then submitted to the Board of Trustees for final approval.

### DAU Mission Publicization

The mission, vision, and goals of the university are announced on the university's official website, flyers, newspaper, or any media based on the approval of the DAU President in both Arabic and English. The Mission is circulated independently or within the strategic plan to all university units.

### Alignment of the Mission to the organizational structure

The mission, vision, and goals of the university are officially announced through various channels, including the university's official website, flyers, newspapers, and other media platforms. These announcements are made with the approval of the DAU President and are provided in both Arabic and English languages. The Mission statement is disseminated independently or as part of the strategic plan to all university units.

### Justifications for Changing DAU Mission

Any changes made to the Mission statement (whether it involves modification, expansion, or creating a new statement) must be accompanied by sufficient justifications or rationale for the following aspects:

The Vision, Mission, and Values statement should be appropriate for DAU within the community it operates in.

The Mission statement should provide practical guidance for planning and decision-making across all units and departments within DAU.

The Mission statement must be developed through consultative processes, formally adopted, and subjected to periodic reviews.

The Mission should serve as a consistent foundation for planning and significant policy decisions within the institution.

The Mission should serve as a basis for establishing goals and objectives for the development of all units within DAU.

## 4. Policy Procedure

- Proposals to modify or expand the Mission statement must be submitted to the University Council at least 6 months prior to the proposed change, following the established policies and procedures. For proposals involving "Modification" of the Mission statement, the following forms shall be used for submission:
  - A cover letter from the General Director of Planning, Development and Quality Assurance outlining the proposed change.
  - A detailed narrative explaining the mission change to include rationale, justification, and impact on resources.
  - Text of current and proposed Mission statement.
  - Impact on academic program and curricular Specifications.
  - Additional supplemental documentation as needed.
- Every five years, the DAU University Council convenes a meeting to review the mission of DAU.
- The General Director of Planning, Development, and Quality Assurance is responsible for implementing a mechanism to collect and analyze stakeholders' feedback regarding the development to update of the vision, mission, and values. The results will be presented to the University Council within two months.

- The Institutional Research & Statistics Unit will submit the assessment results of stakeholders' feedback on the Vision, Mission, and Values statement to the Planning, Development, and Decision Support Directorate within a span of two months.
- The DAU University Council holds the ultimate authority to approve any changes made to the Mission statement of DAU.
- The DAU University Council reports the approved Mission statement of DAU to the Board of Trustees.
- Following approval, the Marketing and PR department will disseminate any updates to the Vision, Mission, and Values statement of DAU to all stakeholders. The announcement may be made through various channels, such as email, the DAU website, flyers, newspapers, or other approved media platforms, under the endorsement of the DAU President.

#### 5. Related Policies/ Documents/ Forms

DAU 1-1 DAU Vision, Mission, and Values Policy.

DAU 1-3 Planning Policy

DAU 1-4 DAU Organizational Structure Policy

#### 6. Document History

| Version | Date     | Updated Information/ Summary of Changes                                  |
|---------|----------|--|
| 1       | Dec 2016 | 1 <sup>st</sup> issue of the policy                                      |
| 2       | 10/2023  | -Modify the new mission of DAU<br>-procedures for changing DAU's mission |

## DAU 1-3 Planning Policy

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 1-3  | Planning Policy       |                    |  |
| Responsible Executive  | Current Revision Date | Next Revision Date |  |
| General Directorate of Planning, Development and Quality Assurance | 10/2023               | 10/2027            |  |

### 1. Purpose of Policy

DAU has established both short-term and long-term strategic plans to effectively pursue its goals and objectives. The long-term strategic plan, spanning five years, outlines strategies with clear goals, objectives, and successful performance indicators. A timeline framework is also specified to guide the achievement of these goals. These strategic plans undergo regular reviews and updates to ensure their continued relevance and effectiveness.

### 2. Policy Scope

All Academic and Administrative units at DAU.

### 3. Policy Statement

DAU has formulated a comprehensive five-year strategic plan encompassing various initiatives within its Academic and Administrative units.

### 4. Policy Procedures

#### DAU Strategic Plan Rules and Regulations

- The current strategic plan's duration can be extended upon a University Council decision.
- The strategic plan of DAU encompasses well-defined strategic objectives, which are linked to specific performance indicators that serve as benchmarks for measuring their achievement.
- The strategic plan of DAU includes an assessment of potential risks and outlines mechanisms to effectively address them.
- DAU establishes operational and execution plans for all its units, utilizing the strategic plan as a guiding framework.
- DAU employs specific mechanisms to monitor the implementation of the strategic plan, prepares regular progress reports, and adjusts the plan as necessary based on reviews, evaluations, and changing circumstances.
- Each unit or program within DAU defines its mission and outcomes aligned with the university's overall mission. Additionally, they develop assessment tools to measure the effectiveness of their outcomes.
- Every department is required to submit an annual progress report, covering all relevant aspects of their operations. The report includes an evaluation of activities, lessons learned, and proposed enhancements or modifications.
- A comprehensive annual progress report encompassing the entire institution is prepared and submitted to the University Council. This report provides a summary of the university's performance in relation to its plan, the impact of implementation, and recommendations for the future. The assessment of the university's effectiveness involves surveys, forms, and reports, leading to recommendations for both short-term and long-term improvements.

- DAU and its academic departments regularly conduct internal and external environmental analyses, considering the university's strategic directions, with the aim of changing existing programs or introducing new ones.
- DAU's mission is periodically reviewed with the development and implementation of the university's five-year strategic planning cycle. During the final year of each strategic cycle, a comprehensive evaluation of the university's strengths, weaknesses, aspirations, and overall performance is conducted.
- DAU actively engages in ongoing, integrated, and institution-wide planning and evaluation processes based on research and data.
- The efforts associated with the strategic plan involve a systematic review of the institutional mission, goals, and outcomes, fostering continuous improvement in the quality of the institution and demonstrating DAU's effective fulfillment of its mission.
- DAU has demonstrated great effectiveness in formulating and implementing new strategic plans that will drive significant improvements in the university's ability to achieve its mission.

### Time Frame of DAU Strategic Plan

The strategic plan is initially developed for a five-year period, unless circumstances arise that necessitate a revision of the timeline. In such cases, the strategic plan's duration can be extended based on a decision made by the university council, considering any specific requirements or variables that may warrant an adjustment.

### Determinants and References of the DAU Strategic Plan

The university's strategic plan is formulated with careful consideration of key determinants and references that align with the mission and goals of the institution. These references should encompass, at a minimum, the following:

- The evolving trends in higher education within the Kingdom - Factors such as changes in educational policies, emerging technologies, and evolving student needs and expectations are considered.
- The strategic plan of the Ministry of Education - The university's strategic plan should be aligned with the broader goals and initiatives outlined by the Ministry of Education, ensuring coherence and synergy with national educational priorities.
- The development plan of the Kingdom - The university's strategic plan should be in line with the overall development plan of the Kingdom, considering socioeconomic factors, infrastructure development, and regional aspirations.
- The specific characteristics of the geographical scope of Riyadh - As the university operates within the city of Riyadh, the strategic plan should reflect an understanding of the local context, demographic trends, economic dynamics, and other relevant factors specific to the city.
- Results of the Status Quo Analysis - Various analytical tools such as SWOT Analysis (identifying strengths, weaknesses, opportunities, and threats), PESTLE Analysis (analyzing political, economic, social, technological, legal, and environmental factors), and Porter Analysis (evaluating competitive forces) are utilized to assess the current state of the university and its external environment. The findings from these analyses inform the strategic planning process.
- Results of the University's self-studies - Internal assessments, self-evaluations, and self-studies conducted by the university provide valuable insights into its strengths, weaknesses, opportunities, and challenges. These findings are considered when formulating the strategic plan, ensuring a realistic assessment of the university's capabilities and areas for improvement.

### Stakeholder Participation

All internal and external stakeholders are involved in preparing the strategic plan.

### Operational Plan

For each initiative outlined in the strategic plan, it is essential to prepare an Operational Plan that provides detailed guidance on its implementation. The Operational Plan should include the following components:

- **Time Frame:** Clearly defines the timeline for each stage or phase of the initiative. This helps to establish a structured approach and ensures that progress is monitored effectively. The time frame should specify start and end dates for each stage, allowing for a comprehensive understanding of the initiative's duration.
- **Targets:** Set specific, measurable, achievable, relevant, and time-bound (SMART) targets for each stage of the initiative. These targets should align with the broader objectives of the strategic plan and provide clear milestones for tracking progress. The targets should be specific enough to guide action and measure success.
- **Responsibilities:** Assign clear roles and responsibilities to individuals or teams involved in implementing the initiative. This ensures accountability and facilitates effective coordination among stakeholders. Each task or activity should have a designated employee who is responsible for its execution and delivery.
- **Indicators of Achievement:** Establish key performance indicators (KPIs) or metrics used to assess the initiative's progress and success. These indicators should be aligned with the objectives of the strategic plan and provide quantifiable measures of achievement. They should be relevant, measurable, and meaningful in evaluating the impact of the initiative.

### Strategic Plan Approval

Following the formulation of the strategic plan, it undergoes a formal approval process before implementation. The approval typically involves two key bodies within the university: the University Council and the Board of Trustees.

- **University Council Approval:** The strategic plan is initially presented to the University Council, which is a governing body that oversees the overall operations and decision-making of the university. The University Council reviews the strategic plan in detail, assesses its alignment with the university's mission and goals, and evaluates its feasibility and potential impact. After careful consideration and any necessary modifications, the University Council approves the strategic plan.
- **Board of Trustees Approval:** Once the strategic plan receives approval from the University Council, it is then presented to the Board of Trustees. The Board of Trustees is typically a higher-level governing body, composed of influential individuals who provide strategic guidance and oversight to the university. The Board of Trustees thoroughly examines the strategic plan, ensuring its alignment with the university's long-term vision, values, and strategic direction. After a comprehensive review and any required discussions or revisions, the Board of Trustees grants final approval for the implementation of the strategic plan.

### DAU Strategic Plan Publicization

Once the DAU Strategic Plan is finalized and approved, it is announced on the university's official website in both Arabic and English. This ensures that the plan is accessible to all stakeholders, including students, faculty, staff, and the public. By publishing the plan on the official website, the university demonstrates transparency and provides a central platform for disseminating information about the strategic direction of the institution. Furthermore, the strategic and operational plan is circulated to all university units. This ensures that all departments, faculties, and administrative units are aware of the plan and can align their activities and initiatives accordingly. By sharing the plan with the various university units, it enables a unified understanding and commitment to the strategic objectives and initiatives outlined in it. This dissemination ensures that everyone within the university community is informed and can actively contribute to the successful implementation of the plan.

### Follow-up Plan

DAU recognizes the importance of monitoring the progress in implementing the operational plan initiatives related to the strategic plan. To ensure effective tracking and evaluation, the following measures typically take place:

- **Monitoring Mechanisms:** DAU establishes specific mechanisms to monitor the implementation of the operational plan initiatives. These mechanisms may include regular progress meetings, periodic reviews, milestone tracking, and performance assessments. These activities enable continuous monitoring of progress and identify any deviations or challenges that may arise.
- **Progress Reports:** DAU prepares annual reports that provide a comprehensive overview of the progress made in implementing the operational plan initiatives. These reports evaluate the level of progress achieved, assess the extent to which the objectives have been met, and highlight key accomplishments, challenges, and lessons learned during the reporting period. The reports serve as a valuable tool for assessing the effectiveness of the plan and informing future decision-making.
- **Performance Indicators:** The operational plan includes predefined performance indicators that serve as benchmarks for measuring progress and success. These indicators are regularly tracked and reported on to evaluate the achievement of objectives. By monitoring these indicators, DAU can assess the effectiveness of the initiatives and make informed adjustments or improvements as necessary.
- **Review and Evaluation:** The annual reports and progress monitoring activities provide a basis for conducting comprehensive reviews and evaluations of the strategic plan implementation. These reviews assess the overall effectiveness of the plan, identify areas of improvement, and inform decision-making for future alterations of the plan.

## 5. Related Policies/ Documents/ Forms

DAU 1-1 DAU Vision, Mission, and Core Values Policy  
DAU 1-2 DAU Mission Development, Approval and Review Policy  
DAU 1-4 DAU Organizational Structure Policy

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 1-4 DAU Organizational Structure Policy

| Policy Code  | Policy Name                         |                    |  |
|--|-------------------------------------|--------------------|--|
| DAU 1-4  | DAU Organizational Structure Policy |                    |  |
| Responsible Executive  | Current Revision Date               | Next Revision Date |  |
| General Directorate of Planning, Development and Quality Assurance | 10/2023                             | 10/2027            |  |

### 1. Purpose of Policy

DAU organizational structure shows the main academic and administrative levels and titles, explains lines of authority, reporting structure, and brief job descriptions for principal administrative and academic officers.

### 2. Policy Scope

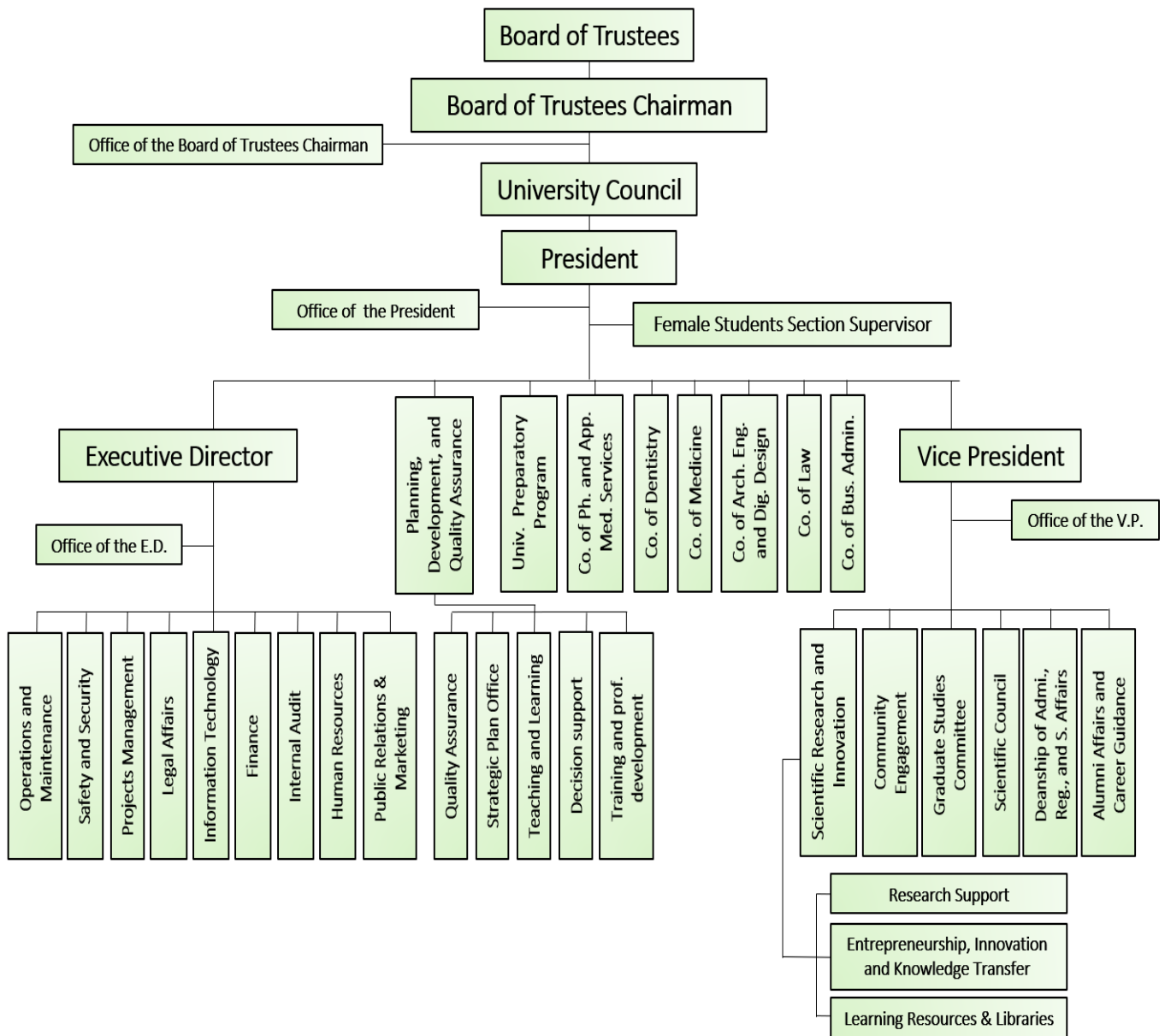
All Academic and Administrative units at DAU.

### 3. Policy Statement

The organizational structure of DAU is designed to align with its mission, goals, scope of activities, and size. The structure is developed in a way that supports the efficient and effective functioning of the university. Key characteristics of DAU's organizational structure and management practices include:

- *Alignment with Mission and Goals:* The organizational structure is designed to support the achievement of DAU's mission and goals. It ensures that the university's resources, departments, and functions are organized in a manner that facilitates the fulfillment of its educational and research objectives.
- *Clear Organizational Guide:* DAU adheres to an organizational guide that provides clarity and articulation of its structure. This guide outlines the hierarchy, reporting relationships, and responsibilities of different positions within the university. It includes comprehensive job descriptions that define the duties and authorities of each role, ensuring role clarity and accountability.
- *Councils and Committees:* DAU is managed by councils, both permanent and temporary, as well as committees. These bodies are formed in accordance with specific regulations and guidelines. They play a crucial role in decision-making, policy formulation, and governance. The responsibilities and authorities of these councils and committees are clearly defined, ensuring effective representation and contribution from both the male and female sections of the university community.
- *Mechanisms for Assessing Efficiency and Enhancing Performance:* DAU implements clear mechanisms to assess the efficiency of the university community and enhance their performance. These mechanisms may include performance evaluations, feedback systems, professional development programs, and continuous improvement initiatives. By regularly assessing and improving the efficiency and performance of its community, DAU strives to maintain high standards of education and research.

DAU's Organizational Structure:



4. Related Policies/ Documents/ Forms

DAU 1-1 DAU Vision, Mission, and Values Policy  
DAU 1-3 Planning Policy

5. Document History

| Version | Issue/Rev. Date | Updated Information/ Summary of Changes  |
|---------|-----------------|--|
| 1       | 2016            | 1 <sup>st</sup> issue of the policy  |
| 2       | 2023            | Added new positions and units in DAU organizational chart which will have significant positive impact on DAU educational and administrative processes. |

## DAU 1-5 Board of Trustees Policy

| Policy Code           | Policy Name              |                    |  |
|-----------------------|--------------------------|--------------------|--|
| DAU 1-5               | Board of Trustees Policy |                    |  |
| Responsible Executive | Current Revision Date    | Next Revision Date |  |
| Board of Trustees     | 10/2023                  | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this policy is to define the responsibilities of the Board of Trustees at DAU in addition to the controls for forming the Board and its meetings.

### 2. Policy Scope

DAU Top Management Level.

### 3. Policy Statement

Board of Trustees oversees DAU's academic, administrative, financial, and technical activities.

#### Composition of the Board

- The Board of Trustees is appointed by the Minister of Education for three years, subject to renewal, and is composed of the following:
  - Four non-university employees to be nominated by the owner with expertise in the financial, investment, and regulatory fields.
  - Three non-university employees to be nominated by the owner with experience, competence, and specialization in higher education.
  - The University's president.
  - A representative of the General Secretariat of the Council of Universities' Affairs.
- A Chairman and Vice-Chairman shall be selected from among the Board of Trustees members who are not listed in (c) and (d) above, and the Chairman shall be accountable to the Minister of Education.
- Owners may not constitute more than one-third of the Board of Trustees members.
- The members of the Board of Trustees may be increased with the approval of the Minister of Education.
- If the position of any member of the Board of Trustees becomes vacant, a replacement shall be appointed for the remaining term with the approval of the Minister of Education.
- The Ministry of Education may extend the Board of trustees' term for a period not to exceed one year.

#### Board of Trustees Secretariat

In coordination with the University President, the Board of Trustees shall select a DAU employee to be a board secretary. The Secretary is not allowed to vote and is not counted as part of the attendance quorum on the Board of Trustees.

#### Meetings of the Board of Trustees

- During the academic year, the University's Board of Trustees meets at least once every four months.
- The Board President may call a meeting of the Council as needed.
- Meetings of the Council are not valid unless two-thirds of its members are present, including the Chairman of the Council or his deputy and a representative of the General Secretariat or someone on his behalf.
- Among the present members, decisions are made with a majority vote, and the side with which the meeting Chairman voted prevails in a tie.

### Duties and Authorities of the Board of Trustees:

- Approval of the university development plans.
- Nominating and appointing the university president, vice presidents, deans of colleges, and heads of supporting departments. It plays a crucial role in selecting and appointing qualified individuals to key leadership positions within the university.
- Approving the regulations and internal rules governing financial, administrative, and academic affairs.
- Approving regulations and internal rules governing financial, administrative, and academic affairs at DAU.
- Approving rules and guidelines for academic and consultancy services offered by the university.
- Setting academic, financial, and administrative policies in DAU.
- Formulating and approving the university's academic, financial, and administrative policies.
- Approving rules and regulations related to scientific research, innovation, authorship, translation, and publication.
- Approving policies related to investments, endowments, and accepting donations, grants, and gifts, ensuring that they align with the university's objectives and comply with relevant regulations.
- Recommendation to approve the academic programs for the degrees offered by the university and submit them to the General Secretariat.
- Approving financial fees for the university's academic programs.
- Approving to form the Scientific Council.
- Recommendation the establishment of colleges, institutes, scientific departments, and research centers, or their merger, cancellation, or modification of their names, and submit them to the General Secretariat.
- Approving the establishment of scientific chairs.
- Approving to form advisory councils with determination of their competencies, rules, roles and responsibilities.
- Approving both scientific and technical co-operation agreements and memoranda of understanding.
- Approving of the social responsibility plan.
- Appointment of external auditors for the university's financial accounts.
- Approving the university's annual report and providing a copy to the owner and the General Secretariat.
- Approving the university's final accounts and submission it to the owner.
- Recommendation to approve the university's annual budget and submit it to the owner.
- Studying what is referred to it by the president or proposed by any of its members.

The Board of Trustees can delegate some of its powers to the president and form permanent and temporary committees from its members or others.

#### 4. Related Policies/ Documents/ Forms

DAU 1-2 DAU Mission Development, Approval and Review Policy

#### 5. Document History

| Version | Date    | Updated Information/Summary of changes |
|---------|---------|--|
| 1       | 10/2023 | 1 <sup>st</sup> issue of the policy    |

## DAU 1-6 University Council Policy

| Policy Code           | Policy Name               |                    |  |
|-----------------------|---------------------------|--------------------|--|
| DAU 1-6               | University Council Policy |                    |  |
| Responsible Executive | Current Revision Date     | Next Revision Date |  |
| University Council    | 10/2023                   | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this policy is to define the responsibilities of the University Council at DAU and the controls for the council formation and its meetings.

### 2. Policy Scope

DAU Top Management Level.

### 3. Policy Statement

According to the regulations of the Private Universities (chapter 4, page 6): Each University must have a University Council headed by the University President.

#### Composition of the University Council

**The University Council is chaired by the President of the University and consists of the following members:**

- Vice President or Vice Presidents of the University.
- Deans of Colleges and Support Deanships.
- Three experienced, competent, and specialized individuals who have worked in the field of higher education are nominated by the University Council, and a decision is issued to appoint them by the Board of Trustees for a period of three years, subject to renewal.

#### University Council Secretariat

The University council shall have a secretary from its members, to be named by a decision of the council based on the nomination of the council president for three years term, subject to renewal.

- The Secretary of the Council prepares for the meetings of the Council.
- Supervises the recording of the minutes of its sessions.
- Sends meeting agenda to the members well in advance of its meetings.
- Receives members' suggestions regarding the meeting agenda.
- Prepares a draft agenda for each meeting and submits it to the Chairman of the Board of Trustees for approval and attaches them in the invitation of the meeting.

#### Meetings of the University Councils

- The University Council meets at the invitation of its chairman at least once a month in the academic year.
- The Chairman may call the University Council to a meeting if the need arises, or if One Third of the Council Members submit a written request.
- The meeting is not valid if fewer than two-thirds of the Council members are not attending; provided the president of the council or whomever he/she delegates is among the members.
- The Council decisions are issued by most votes of the present members, and in case of equality, the side with which the Chairman of the meeting voted shall prevail.

## University Council Roles and Responsibilities

### The University Council of DAU undertakes the following tasks:

- Proposing the university's vision, mission, and objectives, as well as its academic, financial, and administrative policies, and submitting them to the Board of Trustees.
- Approving the contracts of the faculty members.
- Approving the admission policies and criteria and determining the student numbers based on DAU capacity.
- Approving the regulations governing the scholarship and training of faculty members and submitting them to the Board of Trustees.
- Approving the regulations governing support for scientific research, innovation, authorship, translation, and publication and submitting them to the Board of Trustees.
- Awarding academic degrees to DAU graduates.
- Recommendation to approve the academic programs for various degrees offered by the university and submitting them to the Board of Trustees.
- Approving the details of the academic calendar according to the general framework for the start and end of the academic year in the Kingdom of Saudi Arabia.
- Proposing financial compensation for the academic programs and submitting it to the Board of Trustees.
- Recommendation to approve the formation of the Scientific Council and submit it to the Board of Trustees.
- Proposing the establishment, merger, cancellation, or modification of colleges, institutes, scientific departments, and centers, and submitting it to the Board of Trustees.
- Recommendation to approve the establishment of scientific chairs and submit it to the Board of Trustees.
- Recommendation to approve the formation of advisory councils and determining their competencies, establish their operating rules, and submitting it to the Board of Trustees.
- Recommendation to approve scientific and technical cooperation agreements, memoranda of understanding between the university, local and foreign institutions, and submitting it to the Board of Trustees.
- Recommendation to approve the social responsibility plan.
- Approving the providing services of faculty members to the public and private sectors and civil society institutions through secondment or contracting.
- Approving of faculty members' dedication and scientific communication, as well as their external scientific and academic engagements.
- Approving the academic promotions for faculty members based on the recommendation of the Scientific Council.
- Approving issuing scientific journals and publications.
- Recommendation to approve the university's annual report and submit it to the Board of Trustees.
- Recommendation to approve the university's final accounts and submit it to the Board of Trustees.
- Proposing the annual budget of the university and submitting it to the Board of Trustees.
- Studying the matters referred to by its president or proposed by any of its members.

## 4. Related Policies/ Documents/ Forms

DAU 1-4 DAU Organizational Structure policy  
DAU 1-5 Board of Trustees Policy

## 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 1-7 Standing Committees

| Policy Code | Policy Name   |                       |                    |
|-------------|---|-----------------------|--------------------|
| DAU 1-7     | Standing Committees   |                       |                    |
|             | Responsible Executive   | Current Revision Date | Next Revision Date |
|             | -The Standing Committees<br>-DAU's President<br>-DAU's Vice President | 10/2023               | 10/2027            |

### 1. Purpose of Policy

This policy includes a list of the Standing Committees with a brief for each committee. Members of each committee change Annually by a Decision from DAU President. The Committee shall include a representative for people concerned in Academic and Administrative Units in DAU.

### 2. Policy Scope

Each Committee has its suitable roles and reasonability for the it's specific activities. This policy will be applied for Academic and Non-Academic units at DAU.

### 3. Policy Statement

#### A. Standing Committee for Study Plans and Curriculum

The Study Plans and Curriculum Committee is responsible for the development of existing programs and the introduction of new ones. Moreover, it ensures that curriculum development and review are consistent with the approved processes and are undertaken in full compliance with the educational policies of the University. The SPCC shall meet at least twice per semester and a Quorum of at least 60% of its members is required for the SPCC conduct of business.

#### Duties and Responsibilities of Study Plans and Curriculum Committee:

- Examining the Study Plans received from the colleges and taking the necessary recommendation in this regard.
- Suggesting Programs and Study Plans for the New Colleges.
- Considering requests to open Colleges and Academic Departments or restructuring the existing ones.
- Suggesting ideas for raising the University Academic Units performance.
- Any other tasks assigned to the Committee in this regard.
- Review study plans received from colleges and make recommendations.
- Suggesting programs and study plans for colleges.
- Review the university's academic system and make recommendations for amendments.
- Provide advice and guidance that contribute to enhancing the performance of the DAU's academic units.
- Discussing curriculum issues referred by the president, college deans, and specialized committees.
- Following- up and monitoring colleges and programs in the development, modification, and updating of study plans and programs.
- Proposing new mechanisms for the development of study plans and programs.
- Overseeing the development of plans and programs of study operations.
- Preparation of evidence, plans, and models that deliver outstanding performance and advance in the preparation of study plans.
- Monitoring developments of the study plans and programs at local and global universities.
- Coordination with the relevant authorities to organize workshops and training courses in the development and review of study plans and academic programs.
- The Study Plans and Curriculum Committee will look into any other related task referred to it.

## B. Standing Committee for Graduate Studies (SCGS)

The Standing Committee for Graduate Studies (SCGS) is responsible for preparing and developing the executive rules for the regulations governing postgraduate studies in universities issued by the University Affairs Council Resolution No. (2/9/1444) -dated 01/03/1444 AH- and following up on their implementation.

### Duties and Responsibilities of Standing Committee for Graduate Studies:

- Proposing the general policy for graduate studies at the university and monitoring its implementation after approval by the University Council.
- Recommending approval of admission requirements for graduate programs and updating them based on proposals from departments, colleges, and specialized institutes and councils.
- Supervising joint graduate programs.
- Recommending to the University Council for approval of graduate programs and their modifications - after study and evaluation -, based on proposals from the department council and endorsement from the college council, ensuring that the proposed programs align with the needs of society, the plans and visions of the kingdom, and global trends.
- Recommending to the University Council for approval of proposals from college councils regarding graduate programs that align with the needs of community, 2030 vision, and global trends.
- Recommending approval of study plans and detailed standards to the University Council, based on proposals from the department council, and after agreeing from the college council, in accordance with international reference standards and comparisons.
- Proposing standards for graduate programs for approval by the University Council.
- Proposing regulations for the evaluation of graduate programs for approval by the University Council.
- Overseeing the periodic evaluation of graduate programs at the university through specialized committees or bodies from within or outside the university.
- Studying the comprehensive report prepared by the executive management on graduate programs at the university, including the evaluation results of those programs, and submitting it to the University Council.
- Supporting proposals to specify academic degrees and certificates and their titles in Arabic and English based on the proposals of department and college councils.
- Recommending the number of accepted students each academic year in graduate programs to the University Council, based on proposals from the relevant department council and endorsement from the college council.
- Proposing the formation guidelines for the supervision committees and the defense committees of the scientific thesis.
- Establishing the general framework and standards for comprehensive exams and graduation projects.
- Establishing the general framework for research plans and regulations on how to write, print, submit, and prepare report templates for thesis defense and evaluation.
- Reviewing the periodic reports related to graduate studies submitted by the scientific departments at the university.
- Proposing offering off-campus (outside DAU) graduate programs and submitting the proposal to the University Council to take appropriate action.
- Recommending approval of college proposals regarding developmental initiatives related to graduate studies to enhance the financial resources of the university.
- Recommending the tuition fees for applying to graduate programs, and the financial fees for supporting services related to graduate studies, based on proposals from department and college councils.
- Recommending providing students with full or partial scholarships according to the regulations approved by the University Council.
- Recommending the closure or suspension of graduate programs that do not comply with quality standards or DAU's strategy.
- Considering any matters referred to it by the President of the University, the Vice President of the University, or the University Council for study and providing opinions.



### C. The Higher Committee for Academic Accreditation (HCAA)

The Higher Committee for Academic Accreditation (HCAA) is responsible for following up the implementation of Academic Accreditation and facilitating the work in the Accreditation processes.

#### Duties and Responsibilities of Higher Committee for Academic Accreditation:

- Follow up the progress of the accreditation projects and take appropriate decisions to facilitate the work and tasks of the members of the committees concerned in the Colleges, Deanships, and Departments.
- Approving the executive plans for improvement submitted by the Committees working on the Academic Accreditation Projects.
- Take the appropriate decisions to implement the recommendations and decisions of the reports of the committees working on the academic accreditation projects.
- Studying the issues presented to the Committee and taking appropriate actions.
- The Committee has the freedom to invite whoever is appropriate to attend its meetings.

### D. Standing Committee for Academic Advising (SCAA)

The Standing Committee of Academic Advising (SCAA) is responsible for the following:

- Raising awareness about the importance of the Academic Advising Process within DAU.
- Evaluating the Academic Advisors' Performance.
- Submission of the necessary proposals for developing the Academic Advising process.
- Activating the role of Academic Advising.
- Developing plans and training programs which are necessary to support and improve Academic Advisors performance through suitable objective evaluation criteria.
- Establishing controls for the students' distribution to the Academic Advisors.
- Follow up the Academic Advising process and submit the necessary proposals to develop the Advising process.

### E. The Higher Committee for the Strategic Plan (HCSP)

The Higher Committee for the Strategic Plan (HCSP) is responsible for following up on the development of strategic and operational plans at various levels of the university.

#### Duties and Responsibilities of Higher Committee for the Strategic Plan:

- Supervising the preparation of the university's strategic plan.
- Adopting the action plans submitted by the strategic plan work team.
- Reviewing and approving the budget plans required to implement the action plans.
- Taking the necessary decisions to address the problems that arise during the development of plans.
- Submitting the strategic plan of DAU and operational plan to the University Council for approval.
- Approving the strategic and operational plans of the colleges, deanships, and departments.

### F. Policies and Procedures Committee (PPC)

The Policies and Procedures Committee (PPC) is responsible for updating the Policies and Procedures manual to contribute to achieving the university's Mission and Goals by setting appropriate Supervisory and Procedural Standards for the implementation of Academic, Research, Administrative, Financial, Rights, Duties, Quality Policies and Community Partnership at the University.

#### Duties and Responsibilities of Policies and Procedures Committee:

- Updating the Policies and Procedures Manual at DAU in accordance with the Changes and Developments of the rules, regulations and instructions issued by the University and the Official Authorities.
- Follow up the activities of preparing policy and procedure manuals for the University's academic and Administrative Units.
- Review the procedures of the university's academic and administrative units and ensure their continuous improvement.
- Conducting benchmarking comparisons in the field of policies and procedures according to successful global and local practices and suggesting their application.

- Preparing the necessary periodic reports on the achievements and progress of work and submitting them to the President of the University.
- Executing the tasks assigned to it for the benefit of the work.

### G. Student Violations Committee (SVC)

The Student Violations Committee (SVC) is responsible for controlling the behavior of students within the University and for disciplining the misbehavior of violating students.

#### Duties and Responsibilities of Student Violations Committee:

- Considering the violations referred to it.
- Controlling the behavior of students within the University.
- Refining the behavior of violating students and treating them using the educational methods available at the university.
- Imposing disciplinary penalties on violating students according to the rules, regulations, and instructions in force at the university.
- Studying students' behavioral problems and proposing solutions to them.
- Studying students' legal violations and proposing penalties for them in accordance with the applicable regulations.

### H. Final Examination Committee

The Committee is responsible for all the final examination processes and circumstances in the University for all colleges and programs.

#### Duties and responsibilities of the final examination Committee:

- Preparing the final exams instructions for students, invigilators, and sending them before the start of the final exams, at least one week before the start of the exams.
- Ensuring the proper environment for conducting the final exams to ensure the following:
  - The readiness of the final examination halls and their suitability for the tested students.
  - Attendance of male and female invigilators according to the invigilation schedule.
  - Ensuring that both students and invigilators comply with the final examination rules and regulations.
  - Ensuring that the students who are debarred from the final exams are not present in the Examination Hall.
  - Receiving and filing cases of cheating and breaching the final examination systems to the responsible Committee to complete the dismissal procedures in that case.
- Coordinating with other units in DAU to provide the necessary requirements to ensure the success of the final examination such as: Information Technology Department, Security and Safety Department, Purchasing Department, Operation and Maintenance Department and the Deanship of Admission as well as Registration and Student Affairs.
- Coordinating with colleges to prepare final examination schedules.
- Clarifying the instructions for dealing with emergency cases (illness, violation of regulations and instructions) during the examination time and ensuring the availability of the required tools and proper place for these cases.
- Following up the work of reviewing the tests and auditing the results.

### I. Risk Management Committee

#### Duties and responsibilities of the Risk Management Committee:

- Planning and Preparing the Risk Management plan and continually improving it.
- Measuring and analyzing the expected risk effects and preparing the continual improvement plans to mitigate its effects.
- Raising awareness of the risk management culture between DAU's employees and students.
- Ensuring the implementation of the safety and environmental rules and regulations with the cooperation with the Safety and Security Management.

- Ensuring the availability and properness of the required safety tools within DAU with the cooperation with Safety and Security Management.
- Preparing the general emergency plans, evacuation plans, first aids plan and conducting training about these plans.
- Assessing and reporting the risk management processes results according to these results continual improvement processes can be set.

#### 4. Related Policies/ Documents/ Forms

DAU 1-8 Decision Making Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 1-8 Decision Making Policy

| Policy Code | Policy Name   |                       |                    |
|-------------|---|-----------------------|--------------------|
| DAU 1-8     | Decision Making Policy  |                       |                    |
|             | Responsible Executive   | Current Revision Date | Next Revision Date |
|             | -Decision makers at DAU<br>- General Directorate of Planning, Development and Quality Assurance | 10/2023               | 10/2027            |

### 1. Purpose of Policy

The purpose of this policy is to identify levels of decision-making, follow up on their implementation, and evaluate their effectiveness.

Quality decision making underpins the long-term effectiveness of DAU processes, activities, and services, so that Different Decision Makers with the co-operation of the General Directorate of Planning, Development and Quality Assurance will have the following goals and objectives:

- Achieving strategic goals,
- Maximizing DAU family involvement,
- Enhancing the morale, well-being, and productivity of staff,
- Enhancing the students' learning.

DAU is committed to decision making process that is consultative, participatory that enhances collaboration and relationship-building within DAU community's internal and external stakeholders. Accordingly, structures and processes must be in place to ensure all members of DAU community are authentically involved in shaping the decisions that have impact on them. This ensures that all decisions are purposeful, efficient, effective, and democratic.

### 2. Policy Scope

All academic levels at the university start with the Departments Councils, College Councils, Standing and Temporary Committees and the University Council with the participation of all stakeholders through Suggested opinions, Surveys, Performance reports and Quality reports.

### 3. Policy Statement

#### A. Decision Making Principles at DAU:

- Good decision making requires and fosters a culture of trust, openness, and honesty.
- Any person or group involved in DAU community has the right to raise an issue for consideration.
- All stakeholders who are affected by a decision should be involved in making this decision, and sufficient time should be given for the process to be carefully worked through.
- People who are unable or choose not to attend the decision-making meetings may pass their views on to the meeting via a proxy, but they must be committed to the decision taken.
- Decisions must be communicated as soon as taken, practicable to all who are affected by the decision.
- Not everyone will agree with every decision, but once a decision has been taken through correct procedures everyone has the responsibility to make the decision.
- All members of DAU community are regularly updated regarding their knowledge about DAU Decision Making Policy and Procedures.

## B. Decision Makers Responsibilities:

Decision makers, according to decision-making levels, should adhere to the principles of decision-making at DAU and circulate the decision to all beneficiaries and stakeholders after its official approval, follow up on the implementation of decisions and evaluate the effectiveness of the taken decisions in accordance with the procedures specified in this policy.

## 4. Policy Procedures

### A. Decision Making Protocols

All collective decisions are documented in the minutes of the meeting of the Committee meeting. When the decision is officially approved, the responsible authorities must start implementing the decision. It must be communicated and published to all stakeholders in a timely manner from the following methods of communication adopted at DAU:

- Direct personal notification
- Formal circular via the electronic communication system.
- Official Circular via E-Mail of DAU.

### B. Decision-Making Levels and procedures

#### B1. Standing and Temporary Committees:

The Standing committee: is a committee established with the approval of the university President on a permanent basis to assist him in carrying out his duties in a specific set of issues according to its tasks and responsibilities.

As for the temporary committee: it is formed temporarily to carry out certain tasks entrusted to it by the University President. The assignment of the committee ends when the purpose for which it was formed ends.

In both cases, the committee applies the following procedures for taking decisions and following up their implementation and evaluating their effectiveness as per the following procedure:

- The Committee shall document its decisions in the minutes of the committee meeting after the approval of the absolute majority of the members' votes. In case of equality, the side in which the Chairman of the committee has the upper hand over the decision.
- The Committee must provide justifications for the decision to be taken. Determine the sources of information on which the decision was based.
- The decision must be made in clear and understandable terms for all stakeholders, and it shall be measurable and achievable.
- The committee shall submit the minutes of the meeting, including the decisions taken, to DAU President.
- When the University President agrees to the decisions, these decisions become effective or unless there is an objection to the decisions from the University President within Fifteen days from the date, they reach him.
- If the University President objects to the decisions, he returns them to the committee with his point of view to study it again. If the committee maintains its opinion, the objected decision is referred to the University Council for decision in the first ordinary or exceptional session, and the University Council has the right to ratify, amend or cancel the decision and finalize the decision taking.
- When the decisions enter into force, the committee that made the decision and the body responsible for implementing the decision are officially informed.
- The body responsible for implementing the decision shall start implementing it and inform all concerned bodies.
- The committee follows up the implementation of the decision through the form prepared for that (Follow-Up Decisions Form).
- The committee must evaluate the effectiveness of the decision after its implementation and take One of the following actions:
  - Continues to implement the decision.
  - Improving the procedures for implementing the decision.
  - Suspending the implementation of the decision through the form prepared for this [Decisions Evaluation Form.docx](#)

## B2. Deanships:

DAU organizational Structure includes One Deanship: Deanship of Admission, Registration and Student Affairs. The Deanship applies the following procedures for taking decisions and follow up on the implementation and evaluating their effectiveness:

- The Deanship shall document its decisions in the minutes of the Deanship meeting.
- The Deanship must provide justifications for the decision to be taken, clarifying the sources of information on which the decision was based.
- The decision must be made in clear and understandable terms for all stakeholders, and it shall be measurable and achievable.
- The Deanship shall submit the minutes of the meeting, including the decisions taken, to the University President.
- When the University President agrees to the decisions, these decisions become effective or unless there is an objection to the decisions from the University President within Fifteen days from the date, they reach him.
- If the University President objects to the decisions, he returns them to the Deanship with his point of view to study it again. If the Deanship maintains its opinion, the objected decision is referred to the University Council for decision in the first ordinary or exceptional session, and the University Council has the right to ratify, amend or cancel the decision which is the final verdict regarding this decision.
- When the decisions enter into force, the Deanship that made the decision and the body responsible for implementing the decision are officially informed.
- The body responsible for implementing the decision shall start implementing it and inform all concerned bodies.
- The Deanship follows up the implementation of the decision through the form prepared for that (Follow-Up Decisions Form).
- The Deanship must evaluate the effectiveness of the decision after its implementation and take One of the following actions:
  - Continues to implement the decision.
  - Improving the procedures for implementing the decision.
  - Suspending the implementation of the decision through the form prepared for this (Decisions Evaluation Form).

## B3. Department Council

The Department Council holds its periodic meetings in accordance with the approved regulations for organizing departmental council meetings at the university. The Department Council applies the following procedures for taking decisions, following up on their implementation and evaluating their effectiveness through the following procedures:

- The Department Council documents its decisions in the minutes of the Department Council's meeting after most of the Department Council Members approve the decision.
- The Department Council must provide justification for the decision to be made, clarifying the sources of information on which the decision was based.
- The decision must be formulated clearly, understandable to all stakeholders and achievable.
- The Department Council submits the minutes of the meeting, including the decisions taken, to the College Council. When the College Council approves the decisions, these decisions become effective.
- If the College Council rejects the decisions taken by the Department Council, the minutes of the meeting are kept, and these decisions are considered ineffective.
- When the decision is approved by the College Council, the Department Council that made the decision and the authority responsible for implementing the decision will be officially informed.
- The authority responsible for implementing the decision must start implementing it and inform all concerned parties.
- The Department Council must follow up on the implementation of the decision through the form prepared for this (Follow-up Decisions Form).

- The Department Council must evaluate the effectiveness of the decision after implementing and taking one of the following actions.
  - Continue the implementation of the decision.
  - Improving decision implementation procedures.
  - Suspending the implementation of the decision, through the form prepared for this (Decisions Evaluation Form).

Note: Some of the department's decisions must be approved by the University Council. Therefore, when approved by the College Council, the procedures for approving the College Council's decisions from the University President, which are mentioned below, must be applied to these decisions.

#### B4. College Council

The College Council holds its periodic meetings in accordance with the approved regulations for organizing college council meetings at the university. The College Council applies the following procedures for taking decisions, following up on their implementation and evaluating their effectiveness:

- The College Council shall document its decisions in the minutes of the College Council meeting after the approval of the absolute majority of the members' votes. In case of equality, the side in which the Chairman of the Council voted has the upper hand over the decision.
- The College Council must provide justifications for the decision to be taken, clarifying the sources of information on which the decision was based.
- The decision must be formulated in clear and understandable terms for all stakeholders, and it shall be measurable and achievable.
- The College Council shall submit the minutes of the meeting, including the decisions taken, to the University President. When the University President agrees to the decisions, these decisions become effective, or unless there is an objection to the decisions from the University President within fifteen days from the date, they reach him.
- If the University President objects to the decisions, he returns them to the college council with his point of view to study it again. If the council maintains its opinion, the objected decision is referred to the University Council for decision in the first ordinary or exceptional session, and the University Council has the right to ratify, amend or cancel the decision which is the final verdict regarding this decision.
- When the decisions enter into force, the College Council that made the decision and the body responsible for implementing the decision are officially informed.
- The body responsible for implementing the decision must start implementing it and inform all concerned bodies.
- The College Council follows up the implementation of the decision through the form prepared for that (Follow-Up Decisions Form).
- The College Council must evaluate the effectiveness of the decision after its implementation and take one of the following actions:
  - Continues to implement the decision.
  - Improving the procedures for implementing the decision.
  - Suspending the implementation of the decision through the form prepared for this (Decisions Evaluation Form).

#### B5. University Council

The University Council holds its periodic meetings in accordance with the approved regulations for organizing university council meetings at the university.

The University Council applies the following procedures for taking decisions, following up on their implementation and evaluating their effectiveness:

- The University Council documents its decisions in the minutes of the University Council meeting after the approval of a two-thirds majority vote of the attending members.

- The decisions of the University Council shall be presented to the Chairman of the Board of Trustees and shall enter into force after the approval of the Board of Trustees, unless there is objection from the Chairman of the Board of Trustees within Fifteen days from the date of his notification.
- If the Chairman of the Board of Trustees does not agree, the decision is re-submitted again. If the Board remains in its opinion, the decision is presented to the Board of Trustees.
- When the decision enters into force, the body responsible for implementing the decision is officially notified.
- The body responsible for implementing the decision must start implementing it and inform all concerned bodies.
- The University Council follows up the implementation of the decision through the form prepared for this (Decisions Follow-up Form).
- The University Council must evaluate the effectiveness of the decision after its implementation and take one of the following actions:
  - Continues to implement the decision.
  - Improving the procedures for implementing the decision.
  - Suspending the implementation of the decision through the form prepared for this (Decisions Evaluation Form).

Note: after the decisions have been taken, [Follow-up Decisions Form.docx](#) shall be reviewed on regular basis to ensure effective implementation of the decisions.

#### 5. Related Policies/ Documents/ Forms

DAU 1-4 DAU Organizational Structure Policy  
DAU 1-7 Standing Committees  
DAU 1-6 University Council Policy  
DAU 1-5 Board of Trustees Policy  
[Follow-up Decisions Form.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/ 2023         | 1 <sup>st</sup> issue of the policy     |



## DAU 1-9 Policy on Policies

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU- 1-9   | Policy on Policies    |                    |  |
| Responsible Executive  | Current Revision Date | Next Revision Date |  |
| - General Director of Planning, Development and Quality Assurance.<br>- Directorate of Quality Assurance | 10/2023               | 10/2027            |  |

### 1. Purpose of Policy

This policy ensures consistency, transparency, and quality in the process of developing, reviewing, approving, amending, or withdrawing University policies. The adopted process is consistent with best practices and would ensure that DAU policies are systematically developed, periodically reviewed, and broadly circulated.

This Policy **does not** apply to governance documents such as the Board of Trustees Bylaws. Also, it does not apply to operational policies and procedures that may be approved following the application of an approved University Policy.

### 2. Policy Scope

All Academic and Administrative Units at DAU.

### 3. Policy Statement

All DAU policies shall be developed, approved, and published in accordance with the standards outlined in this Policy and shall be published in both Electronically (Website) and in Hard copy in DAU Policies and Procedures Manual.

#### Policy Standards

- DAU policies will be written and maintained in a standardized format to ensure uniformity.
- It is the Policy Owner's responsibility to designate the appropriate responsible University office charged with the tasks of implementing and enforcing the policy.
- DAU policy should be written clearly with sufficient information on the subject without being excessive in length or complexity.
- DAU reserves the right to amend, modify, delete, or add any policy at any time to meet the needs of DAU community, to comply with applicable laws and standards of accrediting agencies, or for any other reason the University may determine.
- Nothing in this Policy on Policies interferes with the ultimate right of the University's Board of Trustees to adopt, rescind, modify, amend, or replace any University policy related to any topic or subject.

### 4. Policy Procedures

#### A. Procedures for Development, Review and Approval of Policies

- Any individual or unit may identify the need for a new policy, a revision of an existing policy. However, **only** the Policy Owner can initiate the development of a new policy or request a revision of an existing policy.
- Before proceeding with drafting a new policy or requesting a revision of an existing policy, the Policy Owner shall complete and submit the "[Request Form to Develop-Revise-Withdraw an DAU Policy.docx](#) to the General Directorate of Planning, Development Quality Assurance.
- After getting the approval of the directorate and the legal advisor (if deemed necessary), the Policy Owner shall start developing a draft policy or revising a current policy using the Policy Template published by the Quality assurance Directorate and in consultation with key stakeholders. At any time in the drafting process, the Directorate is available for consultation.

- The General Directorate of Planning, Development and Quality Assurance shall act as a central unit to ensure quality control and that all policies are developed in conformity with applicable standards, without any overlap or contradiction, and are regularly revised to keep them current.
- Once the draft of a new policy is prepared using the specified template or modified version of an existing policy is completed, the Policy Owner will forward an electronic copy to the Directorate for review. The Directorate will provide a copy to the legal advisor for review and approval if deemed necessary.
- Once the policy assessment is completed by the Directorate and legal advisor (as applicable), it will be provided to the Policy Owner to incorporate suggested changes, if any.
- The revised version of the new policy or the substantially revised policy, received, and reviewed by the directorate shall be submitted to the University Council for approval and then approved by the Board of Trustees (BOT).
- Policies with minor revisions Only require the approval of the Policy Owner and the General Directorate of Planning, Development and Quality Assurance. A minor revision is one that does not affect the basic requirements, principles, scope, or intent of a policy. It could consist of technical corrections, updates, or clarifications.
- A proposed new, substantially revised policy becomes an official policy of the University and goes into effect after its approval by the University Council and subsequently by the BOT in its next meeting. A substantial revision is one that introduces a significant change to the scope or consequence of a policy.
- Following the approval of a new policy or major revision in an existing policy:
  - The General Directorate of Planning, Development and Quality Assurance shall maintain copies of signed University policies and policy revisions.
  - The General Directorate of Planning, Development and Quality Assurance Directorate shall update the Policies and Procedures Manual and ensure that the updated Manual is published on DAU's website.
  - The Policy Owner shall ensure that the policy is appropriately announced and communicated to the University community.

## B. Periodic Review and Amendment of Policies

- DAU has set the general review process of the policies every 5 years with the new strategic plan, but if any new requirements raised or changed so the policy shall be reviewed regarding the change, or the new requirements and then the policy can be modified.
- Each responsible in DAU units shall periodically review the policies related to the unit and determine whether a policy requires revision, replacement, or withdrawal because of a change in applicable law, standard, or business process. It is the responsibility of the Policy Owner or the responsible office to ensure that the review dates mentioned in the policies are strictly observed.
- The responsible office may deem it appropriate to retain or withdraw an existing policy or consolidate Two or more policies.
- For the retained policies and/or policies with minor changes, the Policy Owner shall notify the General Directorate of Planning, Development and Quality Assurance. The Directorate shall update the Policy Manual and reflect the review and/or the minor revisions in the policy history and dates to ensure that the updated Manual is published on DAU's website.

## C. Withdrawal of Existing Policies

- The responsible office can initiate the request for withdrawal from an existing policy. Any individual or unit who determines the need to withdraw from an existing policy shall coordinate with the office responsible. The Policy Owner or the responsible office shall complete and submit electronically the withdrawal request using the "Request Form to Develop/Revise/Withdraw a DAU Policy", along with the copy of the policy to be withdrawn. The General Directorate of Planning, Development and Quality Assurance shall provide a copy to the legal advisor for review and approval if deemed necessary. Once the policy withdrawal assessment is completed by the directorate and legal advisor (as applicable), it shall submit the request form with the attached policy to the University Council for approval. It will be subsequently submitted to the Board of Trustees (BOT) for approval in its next meeting.

- Following the approval to withdraw a policy:
  - The General Directorate of Planning, Development and Quality Assurance will maintain copies of signed University policy withdrawal.
  - The General Directorate of Planning, Development and Quality Assurance shall remove the withdrawn policy from the Policies and Procedures Manual and ensure that the updated Manual is published on DAU's website.
  - The Policy Owner or responsible office shall ensure that the withdrawn policy is appropriately announced and communicated to the University community.

#### 5. Related Policies/ Documents/ Forms

[Request Form to Develop-Revise-Withdraw DAU Policy.docx](#)

All DAU's Policies

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 1-10 Proactive Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 1-10  | Proactive Policy      |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| - General Directorate of Planning, Development and Quality Assurance.<br>- All DAU's Units. | 10/2023               | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this Policy is to establish a framework for proactive planning, decision-making, and action-taking at DAU. Moreover, it promotes a proactive approach for identifying and addressing potential issues, risks, and opportunities, to enhance the university's ability to achieve its strategic goals, mitigate risks, and adapt to changing circumstances in a proactive and timely manner.

### 2. Policy Scope

This policy applies to all departments, employees, and stakeholders of DAU, and encompasses all aspects of the university's operations, including academic, administrative, financial, human resources, and other relevant areas. It encourages a proactive mindset and approach in all levels of the university's decision-making and action-taking processes.

### 3. Policy Statement

In the context of DAU, proactive policy refers to the adoption of strategies and measures aimed at anticipating and addressing challenges, promoting innovation, and improving the overall quality of education and research. Proactive policies at DAU typically focus on several key areas:

- **Academic Planning and Curriculum Development:** Universities can take a proactive approach to align their academic programs with emerging fields, industry needs, and societal demands. This involves regularly reviewing and updating curricula, introducing new programs or disciplines, and integrating interdisciplinary approaches to education. By being proactive in curriculum development, universities can ensure their graduates are equipped with relevant knowledge and skills for the future job market.
- **Research and Innovation:** Proactive policies in research and innovation involve identifying emerging research areas, promoting interdisciplinary collaboration, and providing support for faculty and students to engage in cutting-edge research. Universities can establish research centers or institutes, foster partnerships with industry and other institutions, and provide funding opportunities to encourage proactive research endeavors.
- **Student Support and Success:** Universities can implement proactive policies to support student success and well-being. This may involve offering academic advising and mentoring programs, providing resources for career development and internships, promoting student engagement in co-curricular activities, and implementing early intervention strategies to identify and support students who may be at risk of academic or personal challenges.
- **Diversity, Equity, and Inclusion:** Proactive policies in universities promote diversity, equity, and inclusion by implementing initiatives that ensure equal opportunities and representation for individuals from underrepresented groups. This may involve developing recruitment and retention strategies, creating inclusive campus environments, and providing resources and support for diverse student populations.
- **Technology and Infrastructure:** Proactive policies in the use of technology and infrastructure can enhance teaching, learning, and administrative processes. Universities can invest in up-to-date technology infrastructure,

provide training and support for faculty and staff to effectively utilize technology, and adopt innovative digital tools and platforms to improve efficiency and accessibility in education and administrative operations.

DAU is dedicated to embracing a proactive stance towards planning, decision-making, and taking action to accomplish its strategic objectives, mitigate risks, and improve its performance and adaptability. DAU acknowledges that proactive planning and action-taking are crucial in identifying and resolving potential issues, risks, and opportunities before they escalate into significant challenges or problems. DAU actively encourages all employees and stakeholders to adopt a proactive mindset and approach within their individual roles and responsibilities. Furthermore, DAU ensures the provision of essential resources, support, and training to facilitate proactive planning, decision-making, and action-taking at all organizational levels.

#### 1- Proactive Planning:

- Every **department** and unit within the university must actively participate in proactive planning to detect potential issues, risks, and opportunities within their specific areas of responsibility.
- Proactive planning entails examining past performance, present trends, and future projections, while also taking into account external factors and incorporating feedback from stakeholders.
- As a result of proactive planning, action plans will be formulated, outlining precise strategies, goals, objectives, timelines, and individuals responsible for addressing the identified issues, risks, and opportunities.

#### 2- Proactive Decision-making:

- The university is committed to employing a proactive approach for all decision-making processes, considering potential issues, risks, and opportunities alongside current circumstances.
- Decision-makers are responsible for actively seeking input and feedback from relevant stakeholders, and they must carefully consider the potential long-term effects and consequences of their decisions.
- Timely decision-making is essential to facilitate proactive actions in an efficient and effective manner. Therefore, decisions should be made promptly to ensure the timely implementation of proactive measures.

#### 3- Proactive Action-taking:

- All departments and employees are required to proactively carry out the action plans developed through proactive planning and decision-making processes.
- Proactive actions encompass a range of activities such as implementing preventive measures, mitigating risks, capitalizing on opportunities, and adapting to evolving circumstances.
- Regular monitoring and evaluation of proactive actions shall be conducted to assess their effectiveness and make any necessary adjustments.

#### 4- Reporting and Accountability:

- All departments and employees shall report on their proactive planning, decision-making, and action-taking activities to designated university officials, as required.
- Reporting shall include updates on the progress and results of proactive actions, as well as any challenges, lessons learned, and recommendations for improvement.
- Departments and employees implement proactive plans, making proactive decisions, and taking proactive actions in their respective areas of responsibility.

#### 5- Training and Support:

- The university shall provide training and supports employees to develop proactive planning, decision-making, and action-taking skills.
- Training may include workshops, seminars, online courses, or other forms of professional development opportunities.
- Employees shall be encouraged and supported to continuously improve their proactive mindset and approach, and to share best practices and lessons learned with their colleagues.

#### 6- Continuous Improvement:

- The university shall regularly review and update its proactive policy, procedures, and practices to ensure their effectiveness and relevance.

- Feedback from employees, stakeholders, and external sources shall be sought and considered in the review and improvement processes.

#### 4. Related Policies/ Documents/ Forms

[Decisions Evaluation Form.docx](#)

[Follow-up Decisions Form.docx](#)

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



# DAU 2.0 Quality Assurance Policies

## DAU 2-1 Quality Assurance and Continuous Improvement Policy

| Policy Code                      | Policy Name   |                    |  |
|----------------------------------|---|--------------------|--|
| DAU 2-1                          | Quality assurance and Continuous Improvement Policy |                    |  |
| Responsible Executive            | Current Revision Date                               | Next Revision Date |  |
| Directorate of Quality Assurance | 6/2023  | 6/2027             |  |

### 1. Policy Purpose

Dar Al Uloom University is seeking to achieve its goals and Mission Statement. So that, this policy is designed to ensure the effectiveness and continuous improvement of all the academic programs, administrative support service and the overall governance at DAU.

### 2. Policy Scope

This policy shall apply to all academic areas and key administrative service and supportive units of DAU operations.

### 3. Policy Statement

According to DAU's Mission, DAU is seeking to achieve excellence in teaching, effective contribution to scientific research and community partnership. The university has developed a strict Quality System to ensure excellent planning, implementation, review, and continuous improvement of its Academic Programs and both academic and administrative support services. Moreover, DAU shall ensure that its Governance System copes with the Local Academic Accreditation Standards and Good Practices. To ensure adherence to the implementation of the internal quality system of DAU, the university shall implement and promote continuous quality improvement measures in teaching, learning, research, and all related support services through the involvement of internal and external stakeholders.

#### DAU Quality Assurance Objectives:

DAU will strive to achieve the following objectives to maintain its level of commitment to academic standards, quality assurance, and continuous improvement as follows:

- Promotion of the culture of assessment and continuous improvement across all units in the University by:
  - Actively promoting a culture of evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units in the University.
  - Enhancing the understanding and implementation of new processes and procedures developed for continuous quality improvement and closing the Quality Assurance loop.
  - Extensively involving faculty, staff, students and other internal as well as external stakeholders in the quality assurance process.
  - Increasing student representation and involvement in the decision-making process, specially in their academic programs' issues and their student life affairs.
- Enhance the communication and implementation of DAU's quality assurance mechanisms as outlined in its Quality Manual to achieve continuous quality enhancement across all units by:
  - Providing accurate, timely and relevant information for development, assessment and follow up of strategic and operational plans at units and the university level.
  - Providing suggestions and recommendations to Top management, deans, and line managers for continuous quality improvement.



- Prepare effective reports based on the analysis of institutional data and suggest actions to help achieve the specified targets.
- Providing development and assessment related to the training through various workshops on a regular basis.
- Regularly involving faculty, students, staff, internal and external stakeholders in the quality assurance process.
- Improving the process of collecting, organizing, and publishing institutional data.
- Revising and updating the all the University documents and the documentation system to ensure their consistency and compliance with ETEC- NCAAA Standards.
- Improving substantially the quality of documents prepared for accreditation and reaccreditation, as well as response reports submitted to the ETEC- NCAAA.
- Organizing workshops for both academic and non-academic units to enhance the understanding of new processes for continuous quality improvement and closing the loop.

#### 4. Policy Procedure

This policy shall apply to all Academic areas and key administrative, service, and supportive units in DAU. DAU shall develop and utilize the necessary processes, templates/forms to regularly monitor, review and assess the effectiveness of all aspects of its operations and educational programs. The evidence-based outcomes of the quality assurance processes shall be assessed and used to make recommendations to College Deans, Office Managers, and DAU's Top management for continuous improvement in both Academic and Administrative areas.

#### A. DAU Quality Model

DAU Quality Processes are based Deming's PDSA cycle of learning and improvement (Plan, Do, Study, Act) to ensure the close of quality loop, as shown in Figure 1.

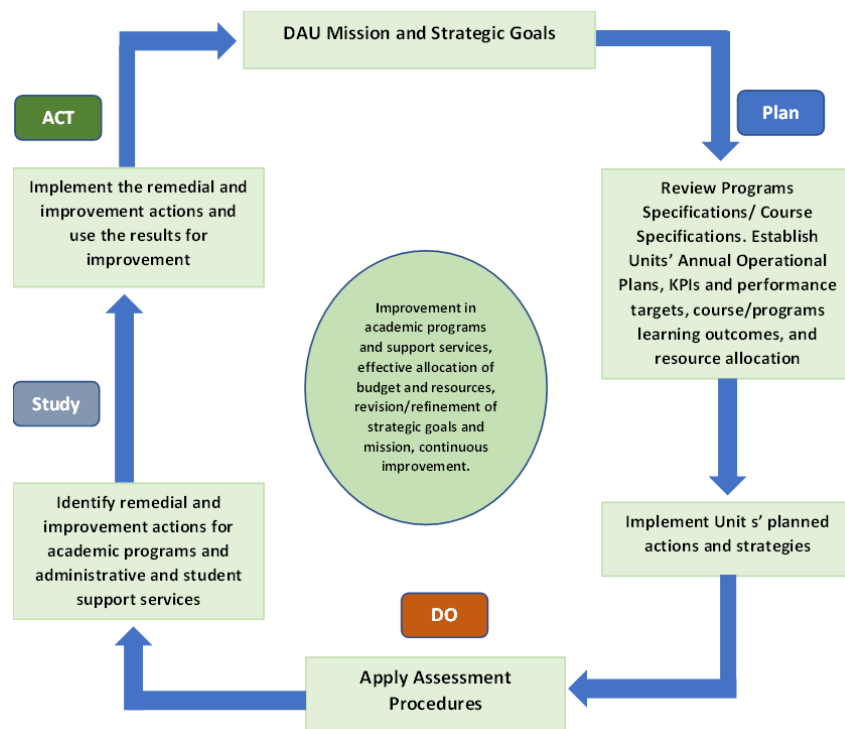


Figure 1: DAU's Continuous improvement and sustainability cycle Deming's PDSA cycle of learning and improvement

## B. The main components of the assessment process are as follows:

- Developing of College mission and goals aligned to university mission and goals.
- Developing Department/Program mission and goals aligned to the College mission and goals.
- Developing of Program Learning Outcomes (PLOs).
- Ensuring that the Programs Learning Outcomes (PLOs) are aligned to NQF and consistent with the ETEC-NCAAA standards.
- Developing course learning outcomes and their mapping matrix to the program learning outcomes.
- Selecting and designing assessment instruments for program learning outcomes and course learning outcomes which include:
  - Direct assessment Methods
  - Indirect assessment Methods
- Setting the benchmarking criteria for achieving the program goals, program learning outcomes and course learning outcomes.
- Follow up the Detailed assessment cycle.
- Analyzing the data and finalizing the assessment results.
- Distribution of assessment results.
- Reviewing assessment results and developing opportunities of improvements and best correction actions to be sustained or adopted.
- Setting a detailed plan for implementing improvement and correction actions.
- Monitoring the implementation of the improvement plans and closing the quality loop.

## C. Assessment Outcomes and Closing the Quality Loop

All academic and non-academic units at DAU will be assessed and evaluated consistently using the DAU Quality Model which leads to continuous improvement of the Academic Programs and administrative supporting services through the closing of the loop, with the goal of achieving the University's strategic goals and mission.

- The assessment procedures shall evaluate the extent to which the KPIs of units and PLOs of academic programs have been achieved.
- Based on the evaluation results, improvement plans for academic programs as well as administrative and student support services shall be identified.
- The Quality Loop shall be closed by assessing the impact of these improvement plans.
- The evaluation results help in improving the academic programs as well as the support services, effective allocation of budget and resources, revision/refinement of strategic goals and mission, and above all continuous improvement of programs and services.

## D. Assessment of Academic Programs

- Using performance measurement tools (for direct and indirect assessment).
- Assessing the achievement of course learning outcomes (CLOs) for all offered courses in each semester
- Evaluating students' overall satisfaction with all offered courses in each semester.
- Reporting on the quality of the course and the course improvement plan for all offered courses in each semester using ETEC-NCAAA - Course Report.
- Documenting the course quality assurance by Course File for all offered courses in each semester.
- Assessing the achievement of program learning outcomes (PLOs) of all academic programs.
- Evaluating students' overall satisfaction with their academic programs, teaching, and administrative and support services provided to them.
- Assessing alumni's satisfaction with the education received at the University.
- Assessing employers' evaluation of the program graduate's proficiency.
- Assessing the achievement of program key performance indicators (P-KPIs) of all academic programs.
- Reporting on the quality of academic programs and improvement plan for all offered programs in each academic year using ETEC-NCAAA - Annual Program Report.
- Assessing the achievement of DAU key performance indicators (I-KPIs).

## E. Assessment of Administrative and Academic Support Units

- Staff satisfaction surveys.
- Students' satisfaction surveys.
- Data collection, analysis, and compilation of assessment results.
- Assessment of units' key performance indicators (KPIs).
- Communicating the unit's assessment results to it.
- Reviewing assessment results and accordingly developing correction and improvement action plans.
- Setting a plan for implementing improvement and remedial actions.
- Monitoring the implementation of the action plans.

## F. Support to Top Management

- Providing analytical and technical assistance to DAU's top management to support the strategic planning process and the operational decision-making.
- Submitting effective reports that support top management in the preparation of self-studies and development initiatives.

## G. Governance of DAU Quality System

For effective implementation of DAU quality assurance policy, the University has established General Directorate of Planning, Development and Quality Assurance (GDPD&QA). Directorate of Quality Assurance (DQA) is administratively affiliated to GDPD&QA. DQA is responsible for developing and following up the implementation of the Quality policy and Quality system at Dar Al Uloom University in cooperation with all academic and non-academic units. Figure 2 shows the GDPD&QA organizational structure including DQA sub-structure:

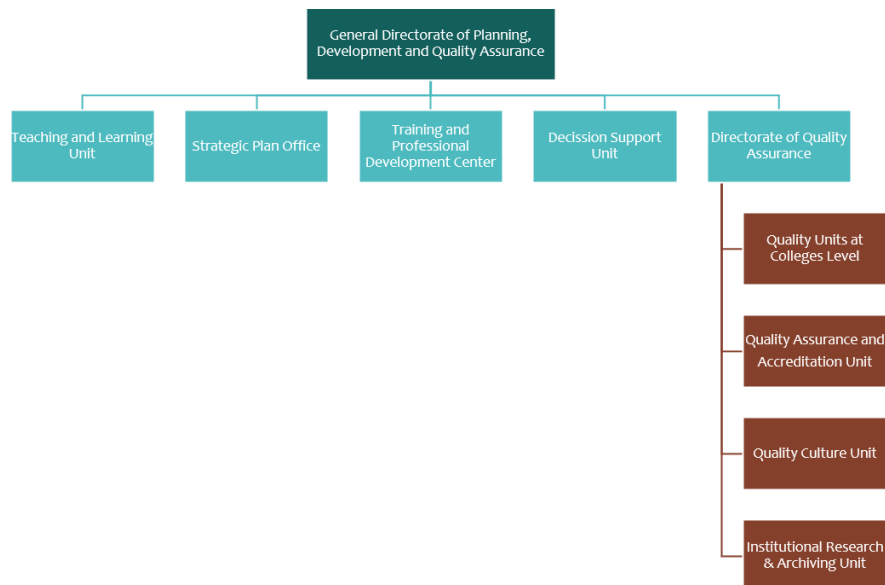


Figure 2: The GDPD&QA organizational Structure

### G.1 Roles and Responsibilities of All Units Related to DAU Quality System

#### 1. General Directorate of Planning, Development and Quality Assurance (GDPD&QA):

- Developing and updating periodically the university's organizational structure to support its institutional excellence.
- Preparing the university's strategic plan, monitoring its implementation, measuring its performance, and developing it, in line with the university's vision and in response to local and global changes.
- Supervising the preparation of strategic plans for colleges, programs, deanships, and departments, as well as the annual operational plans for academic programs.

- Preparing and implementing the accreditation plans which aimed at obtaining local and international accreditations for the university and its programs and renewing them periodically.
- Providing consultations, supporting, and training to all university units concerning the achievement of quality requirements, local and international academic accreditation.
- Monitoring the implementation of the institutional accreditation requirements, national program accreditations, and developing improvement plans to enhance performance in accordance with ETEC-NCAAA standards.
- Preparation and implementation of a plan to develop and enhance the quality of higher education outcomes.
- Preparation of the annual report for the university.
- Preparation of studies and reports aimed at improving institutional effectiveness and supporting decision-making processes at the university.
- Analyzing the results of periodically distributed surveys, preparing reports on the results, and proposing improvement plans based on them.
- Developing and improving the academic and professional capabilities for the faculty members, and the administrative staff.

## 2. Directorate of Quality Assurance (DQA)

DQA is administratively affiliated to GDPD&QA. DQA is responsible for:

- Promoting and spreading the quality culture within the university.
- Developing the internal quality assurance system of the University.
- Planning and implementing the institutional academic accreditation from the Education and Training Evaluation Commission (ETEC).
- Providing necessary support for academic programs to obtain programmatic academic accreditation from ETEC and for its renewal.
- Providing necessary support for academic programs to obtain international accreditation from reputable organizations and for their renewal.
- Facilitating the procedures of institutional and programmatic accreditation by direct coordination with ETEC/National Center for Assessment and Academic Accreditation.
- Monitoring the commitment of colleges, academic programs, supporting deanships, and departments to implement the internal quality system at Dar Al-Uloom University.
- Assisting colleges and academic programs in developing improvement plans related to quality activities and academic accreditation.
- Monitoring the implementation of procedural plans for institutional academic accreditation recommendations.
- Providing necessary support for academic programs in implementing procedural plans for programmatic accreditation recommendations.
- Assisting in developing and implementing policies and procedures at Dar Al-Uloom University in line with quality standards and academic accreditation.
- Providing necessary training for faculty members on quality and academic accreditation activities.
- Measuring performance indicators, conducting internal and external benchmarking at the university and program levels, and preparing necessary reports.
- Preparing periodic reports on stakeholder satisfaction levels (students, graduates, faculty members, employees, and employers).
- Continuously collecting data, information, and statistical reports related to quality and academic accreditation activities.
- Documenting and archiving data and reports related to quality activities, especially course files and annual reports of academic programs.
- Supervising quality assurance units in colleges.

### 3. Quality Culture Unit (QCU)

QCU is administratively affiliated to DQA. QCU is responsible for:

- Developing strategies to promote quality and accreditation culture at DAU.
- Raising the level of awareness about quality and accreditation within DAU community.
- Using various printed and electronic formats to disseminate knowledge about quality and accreditation activities at DAU.
- Delivering and organizing workshops and training programs related to DAU Quality System and accreditation projects.

### 4. Institutional Research Unit & Archiving (IRAU)

IRAU is administratively affiliated to DQA. IRAU is responsible for:

- Collecting data about the performance of an institution,
- Collecting data about the environment of an institution,
- Analyzing and interpreting the collected data, and
- Transforming and interpreting data analyses into information that can be used to support the institutional planning, to set institutional policies and to make academic and management decisions.
- Collect and archive all main DAU's documents (decisions, policies, bylaws and regulations).
- Collect and archive all data analysis reports and performance reports.
- Ensure that the documents are approved, signed, and dated by appropriate, competent, and authorized persons.
- Documents must be regularly reviewed and kept up to date.
- Any correction made to a document or record must be signed or initialed and dated, the correction must permit the reading of the original information. Where appropriate, the reason for the correction must be recorded.
- Classification of documents into groups by type.
- Send documents to people and departments who request these documents (The individuals and departments who request these documents must have the authority to access these documents.)
- Contact all DAU's departments to collect the new or updated documents to be documented.
- Develop backup depository for all DAU's documents.

### 5. Quality Assurance Unit at College Level (QAC):

The Quality Assurance Unit at the college level is administratively affiliated with the College Deanship and technically affiliated with the DQA to ensure adherence to the DAU quality system. The Quality Assurance Unit at the college level is responsible for:

- Advising on College-Wide priorities and strategies for quality improvement.
- Developing a procedures manual describing the college's structure and processes for quality assurance; specifying criteria for selection and formats for indicators, benchmarks, and objectives; preparing standard forms for matters such as student and graduate surveys; and advising on operational procedures for the planning and implementation of quality processes in alignment with DAU Quality System.
- Assisting internal academic and administrative units in the development of quality improvement strategies within their own areas.
- Establishing and monitoring self-assessment processes and reporting requirements aligned with DAU quality system.
- Review the course files and the program file and deliver it to the Directorate of Quality at the university.
- Providing training for faculty and staff with advice and support as required.
- Maintaining systematic collections of reports on performance including data on indicators and benchmarks that will be required for analysis and reporting on trends in performance and changes in the environment within which the institution is operating.

- Coordinating and leading the preparation of periodic self-studies for consideration within the college and for use in external reviews.
- Cooperate with Teaching and Learning Unit to Develop and implement courses/programs improvement plan.
- Assisting in the implementation of academic accreditation projects for all college programs.

#### 6. Program Quality Committee (PQC):

Each Program Quality Committee is headed by senior faculty member to:

- Maintain all documents necessary for accreditation in the program.
- Provide support and necessary information to fulfil Quality Assurance requirements.
- Disseminate a culture of quality assurance among faculty members and employees.
- Upgrade the standard level of quality in accordance with NCAAA and international standards.
- Develop the skills of academic staff and administrators in quality, teaching and research.
- Monitoring and reviewing course file submission.
- Collect necessary information related to Key Performance Indicators (KPIs).
- Benchmark the best practices in other universities or industries.
- Prepare the annual program report and annual reports for Academic Programs.
- Cooperate with the Quality Unit in the college and Directorate of Quality to implement DAU quality system effectively.
- Cooperate with the Quality Unit in the college and Teaching and Learning Unit to Develop and implement Courses/programs improvement plan.
- Provide databases for academic accreditation (Evidence, CLOs, and PLOs Assessments, KPIs, Surveys, etc.).

#### 7. Teaching and Learning Unit (T&LU):

- Developing strategies, policies, and procedures for teaching and learning at DAU.
- Monitoring and coordinating with quality units in colleges to ensure compliance with the requirements of the Education and Learning Standard (the third standard of institutional and programmatic accreditation standards).
- Studying the alignment between course content, teaching and learning strategies, and assessment methods with course objectives and expected learning outcomes in coordination with quality committees in academic programs.
- Monitoring the implementation of academic programs and courses' development plans based on the annual reports of the programs and courses which are approved by department council and college council in coordination with quality committees in the academic programs.
- Developing and implementing improvement plans based on institutional accreditation performance indicators analysis.
- Monitoring academic programs in improvement plans implementation which is based on the programmatic accreditation performance indicators analysis.
- Measuring the characteristics of graduates and learning outcomes at the institutional and programmatic levels in collaboration with quality units in the colleges and developing improvement plans based on these results.
- Developing the suitable documentation system for study plans, academic program descriptions, course descriptions, ensuring quick and easy reference, especially in student transfer or conversion processes to and from the university which will facilitate the retrieval process for this data.
- Establishing mechanisms to develop and improve teaching and learning requirements and equipment in DAU such as libraries, laboratories, study halls, and Internet rooms in various colleges.
- Monitoring student satisfaction with the quality of teaching, academic advising, professional advising, psychological advising, and all services provided to them.

- Developing procedures and mechanisms to enhance the credibility of exams and student assessment methods.
- Ensuring effective academic performance of students by verifying the provision of feedback to students based on their performance in exams and various assessment methods.

## G.2 Governance Matrix of DAU Quality System

| Abbreviations              |   |   |  |                                  |
|----------------------------|---|---|--|----------------------------------|
| UC                         | UP                                      | VP                                      | GDPD&QA  | DQA                              |
| University Council         | University President                    | Vice President                          | General Directorate of Planning, Development and Quality Assurance | Directorate of Quality Assurance |
| T&LU                       | IRAU                                    | QAC                                     | PQC  |                                  |
| Teaching and Learning Unit | Institutional Research Unit & Archiving | Quality Assurance Unit at College Level | Program Quality Committee  |                                  |

### Planning Phase (Plan)

| No. | Processes and Activities   | DQA | T&LU | PQC | QAC | IRAU | GDPD&QA | VP | UP | UC |
|-----|--|-----|------|-----|-----|------|---------|----|----|----|
| 1.  | Developing/Reviewing DAU Policies & Procedures   | R   |      |     |     |      | R       |    |    |    |
| 2.  | Developing/Reviewing DAU Quality Manual  | R   |      |     |     | R    | R       |    |    |    |
| 3.  | Developing/Reviewing Quality Tools   | R   |      |     |     | R    | R       |    |    |    |
| 4.  | Setting CLOs and PLOs target values  |     | R    | R   | R   |      |         |    |    |    |
| 5.  | Setting Graduate Attributes (GA) target values   |     | R    |     |     |      |         |    |    |    |
| 6.  | Setting KPIs target values   | R   | R    | R   | R   | R    | R       |    |    |    |
| 7.  | Establishing Units' Annual Operational Plans.  |     | R    | R   | R   |      | R       |    |    |    |
| 8.  | Allocating Resource for all units  |     |      |     |     |      |         | R  | R  | R  |
| 9.  | Ensuring readiness of Programs Specifications/ Course Specifications to start New Academic year. |     | R    | R   | R   |      |         |    |    |    |

### Assessment Phase (DO)

| No. | Processes and Activities  | DQA | TLU | PQC | QAC | IRAU | GDPD&QA | VP | UP | UC |
|-----|---|-----|-----|-----|-----|------|---------|----|----|----|
| 1.  | Evaluating students' overall satisfaction with all offered courses in each semester.  | R   |     |     |     | R    | R       |    |    |    |
| 2.  | Evaluating students' overall satisfaction with their academic programs, teaching, and administrative and support services provided to them. | R   |     |     |     | R    | R       |    |    |    |
| 3.  | Assessing alumni's satisfaction with the education received at the University.  |     |     | R   | R   |      |         | R  |    |    |
| 4.  | Assessing employers' evaluation of the program graduate's proficiency.  |     |     | R   | R   |      |         | R  |    |    |
| 5.  | Assessing the achievement of program key performance indicators (P-KPIs) of all academic programs.  | R   |     |     |     | R    | R       |    |    |    |
| 6.  | Assessing the achievement of DAU key performance indicators (I-KPIs).   | R   |     |     |     | R    | R       |    |    |    |
| 7.  | Assessing the achievement of course learning outcomes (CLOs) for all offered courses in each semester.                                      |     | R   | R   | R   |      |         |    |    |    |
| 8.  | Assessing the achievement of program learning outcomes (PLOs) of all academic programs.   |     | R   | R   | R   |      |         |    |    |    |
| 9.  | Evaluating Staff' overall satisfaction  | R   |     |     |     | R    | R       |    |    |    |
| 10. | Assessing the units' key performance indicators (KPIs).   | R   |     |     |     | R    | R       |    |    |    |

| Improvement Plan (Study) |  |     |     |     |     |      |         |    |    |    |
|--------------------------|--|-----|-----|-----|-----|------|---------|----|----|----|
| No.                      | Processes and Activities   | DQA | TLU | PQC | QAC | IRAU | GDPD&QA | VP | UP | UC |
| 1.                       | Studying the results of measuring CLOs and students' evaluation of the course and reviewing the quality of the course according to the terms of the course report.   |     |     | R   | R   |      |         |    |    |    |
| 2.                       | Developing an improvement plan for each course.  |     |     | R   | R   |      |         |    |    |    |
| 3.                       | Documenting the course quality assurance by Course File for all offered courses in each semester.  | R   |     | R   | R   | R    |         |    |    |    |
| 4.                       | Studying the results of measuring PLOs, students' evaluation of the program, Alumni and Employer surveys, KPIs measurement results, benchmarking and reviewing the quality of the program according to the terms of the Annual Program Report. |     | R   | R   | R   |      |         |    |    |    |
| 5.                       | Developing comprehensive improvement plan for each academic program.   |     | R   | R   | R   |      |         |    |    |    |
| 6.                       | Reporting on the quality of academic programs and improvement plan for all offered programs in each academic year using the program file.  |     | R   | R   | R   |      |         |    |    |    |
| 7.                       | Studying the results of measuring GA.  |     | R   |     |     |      |         |    |    |    |
| 8.                       | Developing improvement plan for DAU GA.  |     | R   |     |     |      |         |    |    |    |
| 9.                       | Studying students' satisfaction, staff satisfaction of the and DAU units' KPIs measurement results and benchmarking.   | R   | R   |     |     | R    |         |    |    |    |
| 10.                      | Developing comprehensive improvement plan for DAU academic and non-academic units.   | R   | R   |     |     | R    | R       | R  |    |    |

| Implementation and Follow-Up of Improvement Plans (ACT) |  |     |     |     |     |      |         |    |    |    |
|---|--|-----|-----|-----|-----|------|---------|----|----|----|
| No.   | Processes and Activities   | DQA | TLU | PQC | QAC | IRAU | GDPD&QA | VP | UP | UC |
| 1.  | Implementing the improvement plan for each course.   |     |     | R   | R   |      |         |    |    |    |
| 2.  | Following-up the implementation of an improvement plan for each course.  |     | R   |     |     |      | R       | R  |    |    |
| 3.  | Implementing the comprehensive improvement plan for each academic program.                                     |     |     | R   | R   |      |         |    |    |    |
| 4.  | Following-up the implementation of the comprehensive improvement plan for each academic program.               | R   | R   |     |     |      |         | R  |    |    |
| 5.  | Implementing the comprehensive improvement plan for DAU academic and non-academic units.                       | R   | R   |     |     |      | R       | R  |    |    |
| 6.  | Following-up the implementation of the comprehensive improvement plan for DAU academic and non-academic units. | R   | R   |     |     |      | R       | R  |    |    |
| 7.  | Assessing the impact of the improvement plans at all levels to close the Quality Loop shall be closed by       | R   | R   | R   | R   | R    | R       | R  | R  | R  |
| 8.  | Collect and document all evidence indicating the closure of the Quality Loop for each academic year            | R   | R   | R   | R   | R    |         |    |    |    |



#### 4. Related Policies/ Documents/ Forms

DAU 2-2 DAU's Quality System Assessment Policy and Procedure  
DAU 3-3 Course File Policy  
DAU 3-20 Graduate Attributes and Institutional Learning Outcomes Policy.

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes  |
|---------|------------------|--|
| 1       | 2015             | 1 <sup>st</sup> issue of the Policy  |
| 2       | 10/ 2023         | <ul style="list-style-type: none"> <li>The main components of the assessment process have been reviewed and updated.</li> <li>The governance matrix of DAU Quality Assurance System has been developed under the supervision of General Directorate of Planning, Development and Quality Assurance.</li> </ul> |

## DAU 2-2 DAU's Quality System Assessment policy and procedures

| Policy Code   | Policy Name   |                    |  |
|---|---|--------------------|--|
| DAU 2-2   | DAU's Quality System Assessment policy and procedures |                    |  |
| Responsible Executive   | Current Revision Date                                 | Next Revision Date |  |
| - Internal Review Committee<br>- Directorate of Quality Assurance | 10/2023   | 10/2027            |  |

### 1. Policy Purpose

The purpose of these policies and procedures is to facilitate the ongoing enhancement of the quality management system and the attainment of elevated levels of academic quality standards. They establish the objectives and processes by which the efficacy of the system is assessed. Moreover, these policies and procedures are designed to support the university in fulfilling both local and international accreditation requirements. By adhering to these guidelines, the university aims to ensure compliance with rigorous quality standards and continuously improve its academic practices.

### 2. Policy Scope

This policy encompasses all the fundamental phases of quality management processes, namely planning, implementation, review, and improvement, both at the institutional and programmatic levels. It also includes the utilization of various quality tools and forms during these stages, such as Stakeholders Satisfaction Surveys, performance indicator reports, benchmarking, reports assessing learning outcomes, annual reports for academic courses and programs, as well as improvement plans based on the obtained results. Additionally, it outlines the necessary measures to monitor the implementation of improvement plans and ensure the completion of the quality cycle. The procedures outlined in this policy are carried out biennially.

### 3. Policy Statement

- The policy and procedures for evaluating the DAU's Quality System are implemented by the Internal Audit Committee under the supervision of the DQA (Department of Quality Assurance). This assessment takes place twice a year, at the beginning of the academic year and upon completion of the necessary data and reports.
- The Internal Review Committee consists of a representative from one of the colleges at Dar Al Uloom University, chosen based on the recommendation of the respective college's Dean.
- The Internal Audit Committee is committed to following the procedures and utilizing the tools outlined in this policy to evaluate the DAU's Quality System.
- External audits are conducted by an independent external auditor, selected in accordance with the regulations governing the selection process for external auditors.
- The final review visits conducted by the Education and Training Evaluation Commission/National Center for institutional accreditation serve as an evaluation of the effectiveness of the DAU's Quality System. Recommendations for institutional accreditation are considered crucial in assessing the external quality management system.
- Based on the audit results, the Internal Audit Committee provides recommendations for improvement priorities concerning the DAU's Quality System.
- The results of the assessment of the DAU's Quality System, along with its improvement plans, are submitted to the General Directorate for Planning, Development, and Quality Assurance.

## 4. Policy Procedure

### 1. Internal evaluation procedures for the quality management system

The Internal Audit Committee applies the following procedures to evaluate the quality management system.

#### A. Desk Audit Procedures

The Internal Audit Committee carries out the desk audit process, which includes studying the system documentation and ensuring that quality requirements are met according to the tools and forms previously distributed to quality units and committees in colleges and academic programs, which includes the following:

- Appendix 1. Audit form for submitting course files ([Click Here](#)).
- Appendix 2. Completion Verification Form for Course File Elements ([Click Here](#)).
- Appendix 3. Annual Program Report Evaluation Form ([Click Here](#)).
- Appendix 4. Learning Outcomes Measurement Plan and Report ([Click Here](#)).
- Appendix 5. Overall Result of CLOs Assessment ([Click Here](#)).
- Appendix 6. Consistency with NQF National Qualifications Framework ([Click Here](#)).
- Appendix 7. Academic Program Accreditation Status and Recommendations ([Click Here](#)).
- Appendix 8. Verification form for distributing and analyzing quality survey ([Click Here](#)).
- Appendix 9. Form for verifying measurement of performance indicators and benchmarking at the program and institutional levels ([Click Here](#)).
- Appendix 10. Form for verifying orientation program for new faculty members ([Click Here](#)).
- Appendix 11. Form for verifying professional development programs for faculty members ([Click Here](#)).
- Appendix 12. Desk audit results form for evaluating the quality system ([Click Here](#)).

#### B. Stakeholder Satisfaction surveys on the DAU's Quality System

- Appendix 13. Survey of faculty members' satisfaction with the quality system ([Click Here](#)).
- Appendix 14 Survey of quality workers' satisfaction with the quality system ([Click Here](#)).
- Appendix 15. Survey of students' satisfaction with the quality system ([Click Here](#)).

### 2. External evaluation procedures for the DAU's Quality System

The Internal Audit Committee selects an external auditor to review and assess the effectiveness of the DAU's quality system. The auditors are selected according to the criteria for selecting the external auditor. The procedures for external evaluation of the DAU's quality system include the following:

- Selection of the external auditor in accordance with the selection criteria attached to the external audit system of DQA ([DAU- External Reviewer](#), Clause Four, P. 5).
- Ensure that there is no conflict of interest in accordance with the external review system of DQA ([DAU- External Reviewer](#), Clause Seven, P. 7).
- The external auditor shall be provided with all internal audit forms, results of surveys, and any additional evidence and documents requested by the external auditor to complete his work.
- The external auditor prepares the external audit report and submits it to the Internal Audit Committee, attaching recommendations and proposals for improvement of the DAU's quality system.
- The Internal Audit Committee studies the recommendations and proposals of the external auditor and includes them within the improvement plan for the quality management system.

### 4. Related Policies/ Documents/ Forms

DAU 2-1- Quality assurance and Continuous Improvement Policy

[Schedule of Quality surveys.docx](#)

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy.    |

## DAU 2-3 Surveys Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 2-3   | Surveys Policy        |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| -Institutional Research & Archiving Unit<br>-Directorate of Quality Assurance | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is guiding the DAU Units in the process of developing, conducting surveys, analyzing the survey results and appropriate dissemination of these results.

### 2. Policy Scope

This policy is applicable to all DAU faculty members, administrators, students, and alumni.

### 3. Policy Statement

Institutional Research & Archiving Unit (IRAU) at DAU is using the survey to gather information and feedback from university stakeholders (students, faculty members, staff, alumni, and employers). A growing need for surveys at DAU is the result of DAU's continuous efforts to understand student and/or employee experiences, measure outcomes, and improve quality. To avoid survey fatigue, DAU endeavors to ensure that surveys are well designed, administered efficiently, and timed in a way that doesn't overburden a target population and avoids conflict of interest. Moreover, DAU ensures that surveys are well coordinated to represent an efficient use of university resources.

### 4. Policy Procedure

#### A. Quality Surveys

The IRAU serves as the main office responsible for coordinating surveys to ensure meaningful and reliable results. All surveys are conducted online using different tools. The schedule of Quality surveys is provided in the following table (Table 1). IRAU uses the following Quality Surveys to measure to understand student and/or employee experiences, measure outcomes, and improve quality:

- Course Evaluation Survey (CES)
- Student Experience Survey (bachelor's degree)
- Program Evaluation Survey
- Alumni Survey
- Employer Evaluation Survey
- Employee Opinion Survey
- Faculty members Satisfaction Survey
- Satisfaction with the internal quality system at DAU
- Evaluation of the data collection system at DAU
- Students' satisfaction with the field training
- Faculty' satisfaction about electronic resources and library
- Students' satisfaction about electronic resources and library
- Students' satisfaction about services provided by Deanship of Admission and Registration
- New faculty members' satisfaction with the Orientation program.
- Effect of training on improving performance

- Student satisfaction for academic advising.
- Student satisfaction with E-Learning.
- Students' satisfaction with services provided by the medical clinic.
- Faculties' satisfaction with the university's website and electronic systems services.
- Employees' satisfaction with the university's website and electronic systems services.
- Students' satisfaction with the university's website and electronic systems services.

The surveys are developed and conducted as per the following guidelines:

- The process of distributing surveys within the university is entirely subject to the IRAU, in coordination with the IT Department regarding the times of distributing these surveys.
- The IRAU sets the implementation plan for distributing surveys and the time frame (semester / academic year) according to the nature of the survey and follows up the process of distributing surveys and sends appropriate reminders.
- The IRAU, in advance of the time of distributing the surveys, contacts the IT Department and informs them officially about the activation of the required survey at the specified time.
- The IRAU receives the results of the questionnaires from the IT Unit and analyzes these results and prepares performance indicators reports at the program and institutional level.
- The IRAU submits reports to the Directorate of Quality and then sends them to colleges, academic programs, and departments for developing improvement plans.
- All Satisfaction Surveys shall use a 5-point Likert scale and the minimum acceptable overall weighted average score shall be 3.5 out of 5 or 70%. A Corrective Action Plan is required if the achieved score for an indicator is less than the minimum acceptable score of 3.5 out of 5 or 70%. In addition, for continuous quality enhancement, each Unit shall provide an Improvement Action Plan for the following year. Satisfaction surveys related to assessment of courses and academic program, such as Course Evaluation Survey (CES), Student Experience Survey (SES) and Program Evaluation Survey (PES) shall use 5-point Likert scale and the minimum acceptable overall weighted average score shall be 4 out of 5 or 80%.

#### B. Procedures for requesting the development and distribution of a new survey.

For the request of developing new surveys requested by the colleges, academic programs and departments, the requester shall adhere to the following:

- The requester must plan the timeline of the survey in consideration of the survey schedule (attached Table 1), to ensure that the frequency of surveys of the target population, especially students, are minimized. This is to ensure a good response rate and to avoid a burden on respondents.
- The survey requester must inform IRAU at least two weeks prior to the event/survey publication to properly prepare and conduct the surveys.
- The survey requester must provide the IRAU with the survey parts and statements.
- The survey requester shall take the ultimate responsibility in ensuring that the survey captures the required information/data and shall provide IRAU with the details of appropriate target population.

#### 5. Related Policies/ Documents/ Forms

DAU 2-1 Quality assurance and Continuous Improvement Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes   |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy.  |
| 2       | 10/2023          | <ul style="list-style-type: none"> <li>• Define new survey request procedures.</li> <li>• Determine minimum levels of satisfaction.</li> <li>• Procedure for the survey feedback is added.</li> <li>• Requesting procedure for new survey designing and distribution is added.</li> </ul> |

## DAU 2-4 Institutional Documents Revision, Approval and Archiving Policy

| Policy Code  | Policy Name   |                    |  |
|--|---|--------------------|--|
| DAU 2-4  | Institutional Documents Revision, Approval and Archiving Policy |                    |  |
| Responsible Executive  | Current Revision Date   | Next Revision Date |  |
| -Institutional Research & Archiving Unit (IRAU)<br>-Directorate of Quality Assurance | 10/2023   | 10/2027            |  |

### 1. Policy Purpose

This policy guides the process of revision, approval and archiving of institutional documents at Dar Al Uloom University (DAU).

### 2. Policy Scope

This policy is applicable to all DAU Main Institutional Documents.

### 3. Policy Statement

The Institutional Research & Archiving Unit (IRAU) follows up the main institutional documents with the relevant appendices (Table 1) and issues and ensures the process of updating them in cooperation with the designated academic and non-academic units in the university in accordance with the decisions, regulations and instructions of the Ministry of Education, the Education and Training Evaluation Commission and the relevant government agencies. Upon completion of the updates, the revised institutional documents are approved by the authorized bodies such as the University Council. Upon approval, the IRAU publishes the latest version in various means of communication and for all stakeholders and archives the previous version of the institutional documents.

Table 1: DAU Main Institutional Documents

| No. | Main Institutional Documents     |
|-----|----------------------------------|
| 1.  | Policies and Procedures Manual   |
| 2.  | DAU Quality Manual               |
| 3.  | Undergraduate Student Catalog    |
| 4.  | Graduate Student Catalog         |
| 5.  | Faculty Members and Staff Manual |
| 6.  | Student Handbook                 |

### 4. Related Policies/ Documents/ Forms

- DAU 1-9 Policy on Policies.
- DAU 2-1 Quality Assurance and Continuous Improvement Policy

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 2-5 KPIs & Benchmarking Policy

| Policy Code   | Policy Name                |                       |                    |
|---|----------------------------|-----------------------|--------------------|
| DAU 2-5   | KPIs & Benchmarking Policy |                       |                    |
| Responsible Executive   |                            | Current Revision Date | Next Revision Date |
| <ul style="list-style-type: none"> <li>- Directorate of Quality Assurance</li> <li>- Institutional Research &amp; Archiving Unit</li> <li>- Teaching &amp; Learning Unit</li> <li>- Colleges' Quality Unit</li> </ul> |                            | 10/2023               | 10/2027            |

### 1. Policy Purpose

Dar Al Uloom University (DAU) recognizes the importance of integrating Key Performance Indicators (KPIs) and benchmarking into various aspects of the university to foster continuous improvement. These practices are essential for establishing performance standards and evaluating performance in relation to comparable institutions. This policy outlines the procedures that DAU will follow to assess and ensure the attainment of performance goals using both external and internal benchmarking. Adhering to this policy facilitates evidence-based decision-making, leading to efficient and effective practices across the university. The primary objective of the Key Performance Indicators benchmarking policy is to foster the ongoing enhancement of DAU's performance.

### 2. Policy Scope

This policy is applicable to ETEC-NCAAA Key Performance Indicators (KPIs) within DAU, including program and institutional-level indicators.

### 3. Policy Statement

**KPI:** refers to the key performance indicators that have been established by the ETEC-NCAAA for both the program and the institution.

**Targeted Value:** signifies the expected or desired level of achievement for each KPI. These benchmarks are determined by the KPI owners, such as Program Chairs or Unit Directors, and are discussed by the Quality Unit.

**Actual Value:** represents the current outcome or performance level of each KPI, providing an assessment of the KPI's current standing.

**Internal Benchmark:** refers to the comparable performance of the previous year's KPIs, serving as a reference point for evaluating progress and identifying areas of improvement.

**External Benchmarks:** are benchmarks obtained from other programs or institutions, whether on a national, regional, or international scale. These external benchmarks provide an external point of reference for assessing performance and identifying best practices.

**KPI Analysis** involves a comprehensive comparison of the benchmarks to identify strengths and formulate recommendations for improvement.

**New Target Performance:** represents the revised desired outcome for each KPI, which is established based on the insights gained from the KPI analysis. These new targets reflect the goals for improvement and guide future performance efforts.

### KPIs Assessment Data Sources

- SIS: Student Information System.
- Quality Statistical Forms.
- Quality Surveys.

| No. | Survey   | Distribution Period   |
|-----|--|---|
| 1.  | Course evaluation surveys  | At the end of the semester  |
| 2.  | Students experience survey   | At the end of the academic year   |
| 3.  | Program evaluation survey  | At the end of the academic year   |
| 4.  | Alumni evaluation survey   | During the academic year  |
| 5.  | Employer Evaluation Survey   | During the academic year  |
| 6.  | Employee Opinion Survey  | During the academic year  |
| 7.  | DAU Faculty members Satisfaction Survey  | During the academic year  |
| 8.  | DAU Climate Survey   | Distributed periodically when needed, not exceeding 3 years             |
| 9.  | Faculty' satisfaction about electronic resources and library                             | Distributed periodically when needed, not exceeding 3 years             |
| 10. | Students' satisfaction about electronic resources and library                            | Distributed periodically when needed, not exceeding 3 years             |
| 11. | Students' satisfaction about services provided by Deanship of Admission and Registration | After the end of the admission and registration period                  |
| 12. | New faculty members' satisfaction about the training programs offered to them            | After the completion of the orientation program for new faculty members |
| 13. | Effectiveness of training about improving performance                                    | After the completion of the training program for the faculty members    |
| 14. | Faculties' satisfaction about the university's website and electronic systems services   | Distributed periodically when needed, not exceeding 3 years             |
| 15. | Employee' satisfaction about the university's website and electronic systems services    | Distributed periodically when needed, not exceeding 3 years             |
| 16. | Students' satisfaction about the university's website and electronic systems services    | Distributed periodically when needed, not exceeding 3 years             |
| 17. | Students' satisfaction about services provided by the medical clinic                     | Distributed periodically when needed, not exceeding 3 years             |

### The equation to calculate the new target value for a Key Performance Indicator

**Fixed Percentage Increase/Decrease:** This method involves applying a fixed percentage increase or decrease to the existing target value or actual value.

#### **Case1: If the current target value is not achieved.**

The equation can be expressed as:

Percentage Change = 5%

New Target = **Current Target Value** - (Actual Value × Percentage Change)

- The percentage change can be determined based on various factors, such as desired improvement rate, external benchmarks, or DAU' strategic objectives.
- If the **current target value is not achieved**, the new target value is decreased according to the result of the equation. If the equation causes a new target value that is lower than the current one, **the current target value is adopted as the new target value.**

#### **Case2: If the current target value is achieved.**

The equation can be expressed as:

Percentage Change = 5%

New Target = **Current Actual Value** + (Actual Value × Percentage Change)

### Academic Program Key Performance Indicators (KPIs) and Benchmarking

#### A. KPIs Assessment

Performance indicators are important tools for assessing the quality of Academic Programs and monitoring their performance. They contribute to continuous development processes and decision-making support. The National Center for Academic Accreditation and Evaluation (NCAAA) has identified 11 key performance indicators at the



program level. All of which are in line with the Program Accreditation Standards version 2022. These indicators are the minimum to be periodically measured. It is expected that the academic program measures the key performance indicators with benchmarking using the appropriate tools, such as (Surveys, Statistical data, etc.) according to the nature and objective of each indicator, as well as determining the following levels for each indicator:

- Actual performance
- Targeted performance level
- Internal reference (Internal benchmark)
- External reference (External benchmark)
- New target performance level

[ETEC-NCAAA KPIs](#)

[DAU Academic Program KPIs-Report](#)

### B. Benchmarking the results of Program KPIs:

All programs at Dar Al Uloom University conduct internal and external benchmarking. The benchmarking process depends on the ETEC-NCAAA KPIs due to its use by all benchmarking partners, especially external benchmarking. The Institutional Research and Statistics Unit of the Directorate of Quality Assurance calculates the actual values of the performance indicators, and the results of the benchmarking are documented in the performance indicators report, to be used later in developing improvement plans according to the results, as follows:

#### 1. Internal Benchmarking:

The actual values of the performance indicator for the current year are compared with the historical actual value at least for the previous year (usually based on the comparison of the last 3 years). The actual values of the program's performance indicator are compared with the values of performance indicators of similar programs in the college. These values are documented in the program and the college performance indicators report.

#### 2. External Benchmarking:

Dar Al Uloom University has signed performance indicators exchange and benchmarking agreements with many academic programs in other universities, so that there are at least 3 external academic programs for each academic program at DAU to conduct external benchmarking. Benchmarking partners are selected according to several criteria, the most important of which are:

- Similarity to the educational system.
- Similarity in mission and goals.
- The program must have national or international academic program accreditation.
- The ability to provide benchmarking data, especially ETEC-NCAAA KPIs.

Program's KPIs exchange and benchmarking agreements ([Click Here](#)).

Program's KPIs exchange and benchmarking Template ([Click Here](#)).

Comprehensive Report of KPIs and Benchmarking ([Click Here](#)).

## Institutional Key Performance Indicators (KPIs) and Benchmarking

### A. KPIs Assessment

The DAU's strategic plan **has identified 115 performance indicators**. These KPIs include 23 ETEC-NCAAA KPIs, 15 SGR KPIs (Saudi Global Rank), and 58 KPIs developed by DAU. The DAU's KPIs are used to measure the achievement of the university's strategic initiatives, objectives, and goals for the next five years and thus develop the necessary improvement plans to achieve the DAU's mission. DAU's KPIs are designed in accordance with the balanced scorecard, which includes four perspectives (financial, customers, internal operations, learning and growth). The achievement of DAU's KPIs is monitored, and their results monitored through the electronic system of the balanced scorecard, which electronically cascaded with the college and academic program scorecards.

- DAU's Strategy Map ([Click Here](#)).
- DAU's Balanced Scorecard ([Click Here](#)).
- DAU's KPIs Cards ([Click Here](#)).

## B. Internal and External Benchmarking

Dar Al Uloom University conducts internal and external benchmarking annually. The benchmarking process depends on the ETEC-NCAAA KPIs due to its use by all benchmarking partners, especially external benchmarking. The Institutional Research and Statistics Unit of the Directorate of Quality Assurance calculates the actual values of the performance indicators, and the results of the benchmarking are documented in the performance indicators report, to be used later in developing improvement plans according to the results, as follows:

### 1. Internal Benchmarking:

The actual values of the performance indicator for the current year are compared with the historical actual value for the previous year at least (usually based on the comparison of the last 3 years). These values are documented in the DAU's performance indicators report.

### 2. External Benchmarking:

Dar Al Uloom University has signed performance indicators exchange and benchmarking agreements with several universities, Therefore, external KPIs data is provided for at least three universities annually to conduct external benchmarking. Benchmarking partners are selected according to several criteria, the most important of which are:

- similarity to the educational system.
- Similarity in mission and goals.
- The university must have national academic accreditation.
- The ability to provide benchmarking data, especially ETEC-NCAAA KPIs.

DAU's KPIs exchange and benchmarking agreements ([Click Here](#)).

DAU's KPIs exchange and benchmarking Template ([Click Here](#)).

## Roles and Responsibilities

- The Directorate of Quality Assurance (DQA) shall ensure that the National Center for Academic Accreditation and evaluation (NCAAA) based required Key Performance Indicators (KPIs) are being utilized and monitored by all the colleges, departments, centers and the Institution at large.
- DQA shall also ensure that the DAU's based KPIs are continuously monitored by all the concerned colleges, departments, centers and the Institution at large.
- The Institutional Research & Archiving Unit (IRAU) prepares the annual report on performance indicators at the institution level and for each academic program.
- The DQA shall assist all the colleges, departments, centers and the Institution at large in benchmarking with other comparable and reputable institutions.
- The Teaching and Learning Unit coordinates with the colleges' quality units to develop improvement plans according to the results of measuring performance indicators and benchmarking.
- DQA, in collaboration with the Teaching and Learning Unit, develops the improvement plan at the institution level according to the results of measuring performance indicators and benchmarking.
- The Teaching and Learning Unit follows up on the implementation of improvement plans at the institution and national levels according to the results of measuring performance indicators and benchmarking.

## 4. Related Policies/ Documents/ Forms

DAU 2-1 Quality Assurance and Continuous Improvement Policy

DAU 2-3 Surveys Policy

[ETEC-NCAAA KPIs](#)

[DAU Academic Program KPIs-Report](#)

## 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy.    |



# DAU 3.0 Educational Programs Policies

## DAU 3-1 Moderation of Assessment Policy

| Policy Code                              | Policy Name                     |                    |  |
|--|---------------------------------|--------------------|--|
| DAU 3-1                                  | Moderation of Assessment Policy |                    |  |
| Responsible Executive                    | Current Revision Date           | Next Revision Date |  |
| All teaching Staff and Departments Heads | 10/2023                         | 10/2027            |  |

### 1. Policy Purpose

The policy outlines DAU's approach to moderation of assessment to ensure consistency in the evaluation of student grades.

### 2. Policy Scope

The policy applies to all assessments that contribute to a course's final grade.

### 3. Policy Statement

This policy establishes guidelines and procedures for DAU's assessment moderation. By maintaining consistent standards across assessors, courses, and programs, moderation ensures fairness, reliability, and validity of assessment results.

- **Pre-Assessment Moderation (Moderating Assessment Tasks):** The process of validating assessment tasks before they are used as assessment tools.
- **Post-Assessment Moderation:** refers to the process of examining marked student work to ensure that markers are making accurate assessments in accordance with published assessment criteria. The required sample size for post-assessment moderation is as follows:
  - Up to 5 students taking the assessment; 100% of assessments should be second-marked.
  - From 6 to 20 students taking the assessment; minimum 40% of assessments should be second-marked.
  - From 21 to 50 students taking the assessment; minimum 30% of assessments should be second-marked.
  - More than 50 students taking the assessment; minimum 20% of assessments should be second-marked.

### 4. Policy Procedures

#### Pre-Assessment Moderation Procedures:

- The head of the department must ensure that all assessment tasks for all courses are to be moderated prior to the administration of each assessment task.
- The head of the department assigns moderators to all courses. The moderator is usually an experienced faculty member who is not the current course coordinator for the semester.
- The moderator must ensure that the assessment tasks are:
  - Aligned with the subject's learning outcomes and assessment requirements.
  - Valid, fair, feasible, and without factual errors or ambiguities.
  - Expressed and presented clearly and accurately.
  - Pitched at a level consistent with the course's intended level.
  - Based on enough questions in the Test Bank, where questions were randomly selected.
- The moderator report to course's coordinator and the head of the department of tasks performed and remarks using [Pre-assessment Moderation Form](#).
- The Course Coordinator reports to the Academic Program Development Committee on pre-assessment moderation outcomes and implements any changes and recommendations as required.

### Post-assessment moderation Procedures:

- Post-assessment moderation will be performed for all courses every time they are offered.
- A representative sample of the assessment tasks and exams submitted by students will be moderated (Second Marking). A range of grades should be included in the samples.
- The moderator will be provided with the assessment task, unit outline, marking guide or scheme, and suggested or model answers.
- The moderator shall provide feedback to the course coordinator and head of the department on the standards being achieved by students using the [Post- Assessment Moderation Form](#). The intent of post-assessment moderation is not to override a student's original mark/grade, except in cases of obvious errors or assessments which unduly disadvantage the student.
- Moderation documentation shall be used by the Departments to provide evidence of effective implementation of the moderation procedure. [Moderation Report Template](#).
- The Course Coordinator reports to the Academic Program Development Committee on post-assessment moderation outcomes and implements any changes and recommendations as required.
- Before confirming end of semester results, the department head should ensure any necessary actions are taken (such as re-marking or grade amendment).

### 5.Related Policies/ Documents/ Forms

DAU 3-18 Examination Control policy  
DAU 3-24 Examination Technical requirements policy  
[Pre-assessment Moderation Form](#).  
[Post- Assessment Moderation Form](#).  
[Moderation Report Template](#).

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-2 Academic Progress policy

| Policy Code   | Policy Name              |                    |  |
|---|--------------------------|--------------------|--|
| DAU 3-2   | Academic Progress policy |                    |  |
| Responsible Executive   | Current Revision Date    | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- Academic Advisors at the Programs</li> <li>- Departments chairs and deans</li> <li>- Deanship of Admission, Registration and Student Affairs</li> <li>- Student Performance Committee</li> </ul> | 10/2023                  | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to outline the principles governing academic progress standards for students, as well as the responsibilities and processes that are involved in encouraging and supporting students' academic progress.

### 2. Policy Scope

This policy applies to all students enrolled in undergraduate and postgraduate programs at the DAU.

### 3. Policy Statement

DAU recognizes the importance of monitoring students' academic progress to ensure that students experiencing difficulties are identified as early as possible, and that they are offered adequate advice, assistance, and support services by the University.

### 4. Policy Procedure

Upon admission to any college, the student is assigned an academic advisor who mentors and supports him/her throughout the program.

The following procedures describe the different aspects of following up with university students on their academic progress:

#### Selection of courses

Upon consultation with an academic advisor, the student should select courses from their study plan.

The selection process for courses occurs during both the early registration & the Add/Drop Periods determined by the academic calendar.

During registration process, the Student Information System (SIS) automatically checks the selected courses against the following criteria to avoid registration errors:

Courses selected by the student are listed in their study plan.

The student has met the prerequisites for the courses selected.

The student is within semester's maximum study load.

Registration on certain courses becomes mandatory if the student has completed a certain number of credit hours.

The academic advisor may recommend waiving restrictions on a student's course selection and allowing that student to register for certain courses without prerequisites. However, the department head and dean must approve the recommendation. Academic advisors should observe prerequisites for all students, while exceptions may be considered for students who are graduating.

It is possible for the Deanship of Admission and Registration and Student Affairs to register courses on behalf of students waiving some academic restrictions with the recommendation of the Academic Adviser and approval of the Department Chair, and the Dean of the College.

## Registration for courses

Course registration is available through SIS during the early registration & the Add/Drop Periods. Students can register for courses through SIS if seats are available, provided their schedules do not conflict.

The following table shows the study load for the semester:

| Semester                  | Number of Weeks | Maximum Number of credit hours |
|---------------------------|-----------------|--------------------------------|
| First and Second Semester | 15              | 20 for BA and 12 for MA        |
| Summer Semester           | 8               | 10 or BA and 6 for MA          |

- The DAU 5-6 Study Load Policy must be adhered to by all students. Undergraduate students should take between 12 and 20 credits per regular semester, while graduate students should take between 3 and 12 credits.
- The College Dean may approve a BA student taking up to 24 credit hours, and a MA student taking up to 15 credits.
- Students who wish to register for less than 12 hours must submit a request through SIS with the necessary justifications.
- A late registration request can be submitted by students who have not completed the formal registration process during the designated period.

## Adding/Dropping Courses

- Students may add or drop courses during the early registration & the Add/Drop Periods without affecting their transcript. Tuition fee deduction may apply.
- Students may drop courses after the withdrawal period and two weeks before final exams. Withdrawal requests should be approved by the Academic Advisor, the Department Chairman, and the College Dean. The student will receive a "W" grade.
- If the course dropped is a co-requisite for another registered course, the two courses should be dropped simultaneously.
- Based on the recommendation of the Academic Advisor, and approval of the Department Chairman and the Dean of the College, the Deanship of Admissions and Registration and Student Affairs may drop or add courses on behalf of students waiving some academic restrictions.

## Changing Course Section

- A student may transfer from one section of a course to another if:
  - In changing sections, there are no conflicts with other courses already registered.
  - There are seats available in the new section.
- Section changes are permitted during the early registration & the Add/Drop Periods.
- A student can change the course section via SIS without needing to obtain the approval of the academic advisor.

## Repeating a Course

A student who obtains a failing grade in a required course must repeat the course, and therefore should formally register for it in the following semester(s). Additionally, a BA student may repeat a course for which he previously obtained a D or a D+ and a MA student may repeat a course for which he/she previously received a C+. The student's transcript will reflect the last grade obtained in the course.

## Course Substitution

The student may register for an alternative course to complete graduation requirements in his final semester, upon the approval of the academic advisor, the department head, and the college dean, provided that the original course is not offered or there is a conflict in the student's schedule that prevents him from registering for it.

## Attendance Regulations

- Instructors are required to take attendance at the start of each class, marking students as Present (P), Late (L), Excused (E), or Absent (A) in Learning Management System (LMS).
- If a student arrives to class more than 10 minutes late, he/she will be marked as 'Late' for that class on the LMS. Each three instances of Late count automatically as one absents.
- If a student arrives to class more than 20 minutes late, he/she will be marked as 'Absent' for that class on the LMS.
- A student wishing to be excused from attending a class should gain the approval of the instructor before the beginning of the class. Students may be excused for the following reasons:
  - Proven medical emergency.
  - The death of a relative
  - Held by a third party beyond their control (police, court, etc.)
- Completed attendance logs on the SIS cannot be modified without the approval of the Dean of the College and the Deanship of Admission and Registration and Students Affairs.
- Students that register in a course during the Add/Drop Period will be marked as "excused" for the classes they missed.
- Each course requires a minimum attendance of 75% for lectures, practical exercises, and clinical sessions.
- If a student's absence reaches 10% SIS will issue a warning.
- If a student's absence reaches between 10% and 20% SIS will issue a second warning.
- An absence of 25 to 50% will result in a denied grade "DN" being issued and the student will not be allowed to take the final exam. The college council may approve the removal of the "DN" if the student provides a valid excuse.
- An absence exceeding 50% will result in a "DN" without any possibility of removal.
- Academic Advisors must monitor and warn students of absences and missed classes.

## Academic Block, Academic dismissal, and Discipline Suspension:

- Academic Blocks, Academic Dismissals, and Discipline Suspensions prevent students from performing certain activities within SIS and elsewhere at the University, including course registration.
- A student is put on Academic Block if he/she did NOT register for any course during the designated period for registration by the academic calendar.
- A student is put on an Academic Dismissal if he /she exceeds the number of semesters allowed to complete the academic program.
- The student will be put on Discipline Suspension when he/she performs academic or non-academic acts deemed in violation of the University's rules and regulations as set forth by DAU's Student Code of Conduct and Discipline.
- The Academic Block and Academic Dismissal can be removed by applying for removal via SIS and all required approvals have been granted.

## Registration postponement

- A BA student can postpone study for a semester or a full academic year, as long as it does not exceed six semesters or three academic years. An exception can, however, be made by the university president on the recommendation of the College Council. A MA student may postpone study for a semester if the Department Council and College Council approve. However, the postponement period cannot exceed four semesters. Postponement periods are not included in the maximum period to earn a degree.
- A student who fails to register for a semester without requesting a postponement will be on academic Block. If the termination does not exceed three semesters, reenrollment may be requested. The university president or his representatives may authorize an exception.
- A student who is approved to spend a semester at another institution is not considered academically blocked or suspended.



- Requests for postponements must be submitted via SIS during the designated period for postponement (Early Registration and the Add/Drop periods) as specified in DAU's Academic Calendar.
- When a student requests a postponement after the Add/Drop period ends, all registered courses are dropped with a grade of "W".

### Academic Dismissal

A Student will be academically dismissed in the following cases:

- If he/she receives three consecutive warnings for a low cumulative GPA.
- If the program is not completed within one and a half times the maximum period to earn a degree.

In exceptional cases, the University Council may grant students who fall under the previous two paragraphs of this article one academic year maximum to finish their studies.

### Academic Standing

A student's academic standing will be determined at the end of each semester after the Semester Academic Closure has been done. It will appear on the transcript that shows his/her achievements throughout undergraduate study and graduate study. Student academic standing may be one of the following:

- Good Standing: all students receive this status at the start of their studies. This standing is expected to be maintained until the student graduates. The minimum GPA required to maintain this status for undergraduate students is 1.00 out of 4.00, and for graduate students it is 2.75 out of 4.00.
- Academic Warning: The undergraduate student will receive a warning if his/her GPA drops below 1.0 out of 4.0, and the graduate student will receive a warning if his/her GPA drops below 2.75 out of 4.0. Dismissal will be issued if the student receives three consecutive warnings for a low GPA.

### Transfer to a new program

- Admitted students may request to transfer to another program before the start of the semester, subject to availability of seats and meeting the minimum admission requirements of the program they wish to join.
- For continuing students, the GPA should be equivalent to the new program admission requirement.
- Unless the Deanship of Admission and Registration and Student Affairs grants a waiver, a student may only transfer once while attending DAU.

### Incomplete Grade (IC) Requests

A student who misses a final exam and provides an acceptable excuse will receive a grade of IC, and a makeup final exam will be scheduled with the following considerations:

- Acceptable excuses for failure to attend a final examination are the following:
  - Sick leaves issued by Sehaty.
  - Death certificate of a first or second-degree relative.
  - Arrest or summons before a court or other legal body.
- The Academic Adviser must receive a valid excuse submitted on SIS within 2 weeks of the end of the exam period.
- Requests for IC exams must be approved by the academic advisor, the Department Head, and the College Dean.
- Makeup final exams for approved IC requests must be completed before the next semester ends.
- Students who fail to attend the makeup final exam will receive a grade "F" in the course.

### First and second honors degrees for BA students

BA Students can achieve a 1st Honor Degree if they complete their program with an overall GPA of 3.75 to 4.00 and a 2nd Honor Degree if they complete their program with an overall GPA of 3.25 to 3.74, taking into consideration the following:

- During his/her studies at DAU, he/she never failed a course.
- Completion of all requirements within the minimum and maximum completion periods.
- At least 60% of his studies were completed at DAU.

### 5. Related Policies/ Documents/ Forms

DAU 3-18 Examination Control policy  
DAU 3-7 Grading and assessment policy  
DAU 5-6 Student's Study Load Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-3 Course File policy

| Policy Code  | Policy Name        |                       |                    |
|--|--------------------|-----------------------|--------------------|
| DAU 3-3  | Course File policy |                       |                    |
| Responsible Executive  |                    | Current Revision Date | Next Revision Date |
| - Teaching Staff.<br>- Educational Process Quality and Program Accreditation Committee at program level.<br>- Quality Assurance Unit at the college and program levels<br>- Directorate of Quality Assurance |                    | 10/2023               | 10/2027            |

### 1. Policy Purpose

The primary purpose of this policy is to document academic quality processes and procedures at the course level in accordance with the requirements of the Academic Accreditation Standards of the Education and Training Evaluation Commission (ETEC). The course file is an essential reference that includes a set of documents and evidence used in the internal review process to verify the quality and effectiveness of teaching at the course level. CF includes the course specification, the course report, the results of measuring the course learning outcomes, reports on student performance in the course, academic content and assessment tools used in the course.

### 2. Policy Scope

This policy applies to all undergraduate and graduate courses at Dar Al Uloom University, which are offered during the semester.

### 3. Policy Statement

The Course File (CF) is a basic requirement for quality control of courses in accordance with the requirements of the Education and Training Evaluation Commission (ETEC). The file includes the information necessary to ensure the quality of the courses. It also helps monitor and ensure the quality of academic courses and work on continuous improvement of the courses. The course instructors, in cooperation with the course coordinator, fill out the course file according to the forms provided by ETEC and the forms for monitoring the quality of courses prepared by the DAU.

### 4. Policy Procedure

All teaching staff are required to prepare course files for the courses they teach at the end of each semester. All course files are uploaded to the course file folder located in the DAU's shared folder.

#### A. The main components of the Course File are as follows:

- **Course Specification:** The course specification includes general information about the course, learning outcomes, teaching strategies, and assessment methods. It covers the topics of the course, student evaluation activities, their schedules, and grade distribution. It also specifies the learning resources and facilities required for implementing the course.
- **Course Syllabus:** Course Syllabus must be prepared by the course instructor based on course specifications. Course syllabus should include Instructor information (Means of communication and office hours), required textbook(s) and additional resources, course description and objectives, CLOs and alignment with PLOs, Overview of course grading, assessment tools and rubrics for assignments and projects, course attendance policy, classroom disruptive behavior policy, policy on academic honesty and plagiarism, course topics distribution by session, CLOs, teaching strategies, and assessment methods.

- **Course Report:** A separate Course Report (CR) should be submitted for every course and for each section (for shared room, male session and female session are considered one section) or campus location where the course is taught, even if the course is taught by the same person. Each CR is to be completed by the course instructor at the end of each course and given to the course coordinator.
- **Combined Course Report:** If different sections are offered in the same semester, the course coordinator should prepare a combined comprehensive course report. For each section, however, separate grade distributions and course evaluation surveys must be included.
- Students' Attendance Records.
- **Copies of all assessment instruments** including quizzes, midterm exams, projects, lab assignments, final exams, and any other assessment methods.
- **Rubrics, Instructor models, and Answer Key** of quizzes, midterm exams, and final exams, Rubric for Assessing, project, report, presentation etc.
- **Course Intended Learning Outcomes:** includes CLOs Analysis for Each Assessment Tool and the Overall Result of Learning Outcomes Assessment for the course.
- **Final grade report** with the breakdown as per the grading system (SIS).
- **Examples from across the range of student:**
  - A copy of the exam with the highest mark from each assessment method used by the instructor.
  - A copy of the exam with the average mark from each assessment method used by the instructor.
  - A copy of the exam with the lowest mark from each assessment method used by the instructor.
- **Summary of the student feedback** on the evaluation of the course, teaching strategies, and resources according to the course evaluation survey conducted by the DAU's Quality Assurance Directorate.
- **Faculty members CVs and Teaching Philosophy:** Instructor's CV including his/her qualification in the specialized area as appears in his transcript or Certificate, and teaching philosophy describing the instructor's beliefs concerning the practice of pedagogy and the process of learning.
- **Copies of all Teaching Materials** e.g., slides, lecture notes, etc.
- **Moderation Forms** (according to the Moderation of Assessment Policy) include:
  - Pre-Assessment Moderation (Moderating Assessment Tasks): The process of validating assessment tasks before they are used as assessment items.
  - Post-Assessment Moderation: refers to the process of examining marked student work to ensure that markers are making accurate assessments.
  - Moderation Report: summarizes the Moderator' comments mentioned in the Pre-Assessment Moderation report and Post-Assessment Moderation report and includes an action plan to improve the quality of assessment tools and ensure consistency in the evaluation of student grades.

## B. Course file submission Procedure

- At the end of each semester the instructors prepare the Course File for each Course.
- Course Coordinators review the course files submitted by the instructors and prepare for each course a combined report if the course is taught to more than one section.
- Course Coordinators sign the Course File Elements Checklists.
- Course Coordinators submit the course files to the Head of Educational Process Quality and Program Accreditation Committee.
- Heads of the Educational Process Quality and Program Accreditation Committee submit course files to the College Quality Unit Heads, who revise the course file completion and submission.
- College Quality Unit heads upload all course files to the DAU's Directorate of Quality Assurance's shared folder.
- DAU's Directorate of Quality Assurance audits and reviews the submitted course files.
- Any problems or missing information are reported to the College Quality Unit Heads by the Directorate of Quality Assurance.
- When all issues raised have been resolved, the College Quality Unit Heads fill out and sign the Course File submission report.

## 5. Related Policies/Documents/ Forms

DAU 3-4 Program Specification Policy  
DAU 3-5 Course Specifications & Syllabus Policy  
[Course File Folder](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes                   |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the Policy                       |
| 2       | 10/ 2023         | The procedures for the course file submission were added. |

## DAU 3-4 Program specification Policy

| Policy Code  | Policy Name                  |                    |  |
|--|------------------------------|--------------------|--|
| DAU 3-4  | Program specification Policy |                    |  |
| Responsible Executive  | Current Revision Date        | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- Faculty members and coordinators Staff in Colleges</li> <li>- College Council</li> <li>- Department Council</li> <li>- College Quality Assurance Unit</li> <li>- Academic Program Development Committee at the College and Program levels</li> <li>- Educational Process Quality and Program Accreditation Committee at the Program levels</li> </ul> | 10/2023                      | 10/2027            |  |

### 1. Policy Purpose

Its purpose is to ensure that the program specification is developed in accordance with the requirements and template provided by ETEC and to support the planning, monitoring, and continuous improvement processes of the academic program.

### 2. Policy Scope

This policy applies to all DAU academic programs.

### 3. Policy Statement

A program specification document should be developed and maintained for each program. The document should follow the latest template provided by ETEC [Program Specification form.docx](#). All program specifications must be available on the university website or in other designated repositories for faculty, students, and others who are interested.

### 4. Policy Procedure

A program specification should be prepared, developed, and approved according to the following procedures:

- Academic Program Development Committee at the Program level (APDC) should prepare the program specification using the ETEC Program Specification Form template [Program Specification form.docx](#)
- College Academic Program Development Committees (APDC) should ensure that program specification aligns with other college programs and facilitate coordination.
- The Educational Process Quality and Program Accreditation Committee at the Program level should review the program specification and ensure compliance with ETEC requirements and forms.
- Program specification submitted to the College Quality Assurance Unit for approval.
- Program specification submitted to Department Council for approval.
- Program specification submitted to College Council for approval.
- The Quality Assurance Department is provided with a copy of the program specification after it is approved by the College Council.
- Please refer to the Program Development and Revision Policy in the case of introducing new academic programs or modifying the current academic programs.

## 5. Related Policies/ Documents/ Forms

DAU 3-13 Program Development and Revision Policy

[Program Specification form.docx](#)

[Program Specification Guidelines.docx](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 3-5 Course specifications & Syllabus Policy

| Policy Code | Policy Name   |                       |                    |
|-------------|---|-----------------------|--------------------|
| DAU 3-5     | Course specifications & Syllabus Policy   |                       |                    |
|             | Responsible Executive   | Current Revision Date | Next Revision Date |
|             | -Faculty members and coordinators Staff in Colleges<br>-Course coordinators<br>-Department Council<br>-College Quality Assurance Unit<br>-Academic Program Development Committee at the College and Program levels<br>-Education Quality Process & Program Accreditation Committee at the Program level | 10/2023               | 10/2027            |

### 1. Policy Purpose

This policy defines the information that should be included in every course specification and every syllabus and emphasizes the fact that course specification and syllabus must be developed for all provided courses.

### 2. Policy Scope

This policy applies to all courses offered at DAU, in all programs, at both the undergraduate and post graduate level.

### 3. Policy Statement

The course outline and the course syllabus are a contract. The course specification serves as a contract outlining the agreement between the academic department and the instructor and the University and other academic institutions including external and accrediting agencies. The course syllabus is an agreement between the instructor and the student concerning content, deadlines, evaluation methods, required resources, and academic policies. Both the course outline and the course syllabus are legal documents.

### 4. Policy Procedures

#### Course specifications:

- are approved by the Academic Department Council.
- present information that cannot be altered without Academic Department Council approval.
- according to the Education & Training Evaluation Commission (ETEC) forms and requirements, include:
  - general information about the course,
  - Course Learning Outcomes (CLOs), teaching strategies and assessment methods,
  - course content,
  - students' assessment activities,
  - learning resources and facilities,
  - assessment of course quality,
  - specification approval.
- are used as a tool to initiate transfer credit agreements with other institutions.
- provide the framework for the development of a course syllabus.



### A course syllabus shall:

- Contains all the above course specification information.
- Provide students with the necessary elements of a course, including:
  - Instructor information: Name and contact information (office location, phone number, email address, and office hours),
  - Course identification: Course Code, Title, Section, Academic Year, and Semester,
  - Credit hours,
  - Required textbook(s) and additional resources: List of required course materials for reading, in-class work, writing, homework, viewing, and listening, including calculators, specialized materials or equipment, and computer software,
  - Course description, prerequisites, and co-requisites,
  - Course Objectives (a list of what the instructor plans to cover in the course),
  - Course Intended learning outcomes (CLOs),
  - Overview of the course grading,
  - Assessment tools and rubrics for assignments and projects, Course attendance policy,
  - Classroom Disruptive Behavior Policy,
  - Policy on academic honesty and plagiarism,
  - Unique class procedures/structures, such as web-based or web-assisted, cooperative exercises, presentations, case study methods, attendance at events outside of class, etc.,
  - Course topics distribution by session, CLOs, teaching strategies, and assessment methods.
- Be signed by the Academic Department.

### An instructor is responsible for:

- developing a course syllabus that aligns with the Department Council approved course specification,
- course syllabus should be reviewed and updated each semester,
- course syllabus must be submitted to the Head of the Academic Department by the tenth day of class for approval.
- distributing the course syllabus to students in a timely manner ideally on the first day of classes,
- posting each syllabus electronically on the corresponding course's home page on the Learning Management System (Moodle) by the first-class day (Syllabi hard copies may also be distributed to students at the beginning of the semester),
- sharing contact information and preferred methods of communication,
- including information pertaining to online learning management systems and tools like Moodle, MS Teams, McGraw Hill and Cengage platforms, etc.,
- detailing expectations related to absenteeism, late or missing assignments, punctuality, etc.,
- communicating minor changes to the syllabus. Instructors may make minor revisions to the syllabus in the interest of students if learning objectives and required components are maintained,
- consider noting relevant institutional and departmental policies that support student success,
- noting institutional details like the add/drop date and student support information,
- ensuring that the syllabus is signed by the relevant Academic Department Head.

*The Head of department is responsible for verifying that syllabi requirements are met and keeping a file of all course syllabi for four years.*

*A student is responsible for understanding the information contained in the syllabus and seeking clarification from the instructor in a timely manner.*

### Procedures for Course Specification preparation and development:

- Academic Program Development Committee at the Program level (APDC) should prepare the course specification using the ETEC Course Specification Form template.
- College Academic Program Development Committees (APDC) should ensure that Course specification aligns with other college courses and facilitate coordination.

- Education Quality Process & Program Accreditation Committee at the Program level should review the course specification and ensure compliance with ETEC requirements and forms.
- course specification submitted to the College Quality Assurance for approval.
- course specification submitted to the Department Council for approval.
- Any new course specification, as well as an existing course specification that has been modified by more than 25%, must be approved by the College Council.

#### 5. Related Policies / Documents/ Forms

DAU 3-2 Academic Progress Policy  
DAU 3-7 Grading and Assessment Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes                 |
|---------|------------------|---|
| 1       | 04/25/2019       | 1 <sup>st</sup> issue of the policy                     |
| 2       | 10/2023          | New requirements of NCAAA in the course syllabus added. |

## DAU 3-6 External Reviewing policy

| Policy Code  | Policy Name               |                    |  |
|--|---------------------------|--------------------|--|
| DAU 3-6  | External Reviewing policy |                    |  |
| Responsible Executive  | Current Revision Date     | Next Revision Date |  |
| -Academic Program Development Committee (APDC) at the department and College levels<br>-DAU's Teaching and Learning Unit<br>-DAU's Quality Assurance Directorate<br>-Colleges' Quality Assurance Units<br>-DAU's College Councils<br>-Academic Department Councils | 10/2023                   | 10/2027            |  |

### 1. Policy Purpose

The purpose of the policy is to provide a systematic and periodical framework to evaluate the academic programs within the university and to suggest new strategies for enhancing the effectiveness of academic programs as well as to guide the development of new academic programs on a continuous basis.

### 2. Policy Scope

This policy governs all DAU's academic programs, both undergraduate and graduate, in all colleges.

### 3. Policy Statement

An external program review is conducted on a regular basis. The Head of the Department should designate an external academic reviewer who is an expert in the field, and then the Department Council and the College Council will review the outcomes and decisions.

### 4. Policy Procedure

*The external reviewer* is a local or international higher education specialist who serves as an impartial advisor to the academic program in his field of competence. He/she should be nominated from outside of the university or from a foreign university.

*The objectives of External Reviewer:* External reviewers are expected to undertake and achieve the following:

- Auditing, assessing, and suggesting developments or areas for improvement in terms of the quality of the academic program under review.
- Evaluating the program's contexts and contents in line with national and international standards of quality to provide comprehensive feedback.
- Identifying the program's strengths and opportunities for improvement related to the labor market trends, curriculum, learning and teaching, program management, and the resources used.
- Providing critical evaluations to ensure the objectivity of the program review process; also, to determine the program's performance compared to other programs both nationally and internationally.

*The External Reviewer Nomination:* The Department Council and the Academic Program Development Committee (APDC) at the Department level should choose and nominate an external reviewer for the program.

### Nomination Criteria

**A. Required Criteria:** The following qualifications must be criteria for assigning an external reviewer who shall:

- Be a faculty member of a recognized academic institution with expertise in the same or a related field.

- Have a rank equivalent to or higher than Associate Professor.
- Have the requisite time and motivation to carry out the obligations following the timetable agreed upon and established by Dar Al Uloom University.
- Have appropriate academic knowledge and skills and, where appropriate, other professional experience, regarding the relevant subject area being assessed.
- Have significant academic knowledge and abilities, as well as other professional experience, in the relevant subject area being examined.
- Have current or recent academic experience (within the previous five years), including teaching experience, particularly in the same field of study as the topic under consideration.

**B. Desirable Criteria:** The following qualifications are extra qualities that may be utilized to support some of the core essential requirements for an external reviewer:

- Previous experience as an external reviewer.
- Distinguished experience in curriculum development, including the writing of learning outcomes related to students' academic assessment; the development of curricular documents and/or action plans for designing programs; and an awareness of state-of-the-art learning, teaching, and assessment strategies.

For the External Reviewer Nomination, two main forms are used:

- Form ER 1: This form is used for the nomination of the external reviewer. [ER 1 Form.docx](#)
- Form ER 2: The department council uses this form as the foundation for selecting and nominating the external reviewer based on the two primary sets of criteria. The required criteria and the Desirable Criteria. [ER 2 Form.docx](#)

### Conflict-of-Interest Clause

The Reviewer will sign the [External Reviewer Conflict of Declaration Form.docx](#) confirming that no conflict of interest exists or is likely to arise related to the review. Under the declaration, the reviewer must maintain the requirements of confidentiality concerning the review. If during the term of the External Review, a conflict of or risk of conflict of interest arises, the Reviewer should immediately notify the college in writing.

### Reviewer's Prohibition Clause

An external reviewer:

- May not be appointed from an institution under the jurisdiction of Dar Al Uloom University or its departments.
- Should not have undertaken any joint teaching or research with members of staff working in the program/college under review.
- Should not have previously applied for employment in DAU.

### Appointment Process for External Reviewer

Nomination should be submitted to the College Academic Program Development Committee (APDC) and the College Council for consideration and approval. Attachments to the nomination folder should include:

- CV of the nominee.
- Required forms (As mentioned above)
- Suggested schedule of the review process
- Financial cost

### Responsibilities and Duties of External Reviewer

- Reading the self-study report (SSR) carefully and evaluating the narrative and supporting documents for each standard.
- Ensuring the objectivity of the program review process and determining how the program/ curriculum compares to other benchmark programs.
- Providing faculty and administrators with a wider perspective on the program: comments on the content of courses, delivery method and assessment tools.

- Assessing whether the study plans are appropriate, considering several factors such as the current condition of the program, trends in the discipline, the nature of the faculty, and the characteristics of the students and the community the program serves.
- Where modules and programs are delivered at more than one location, the reviewer must consider and advise on the comparability of standards across the locations.
- Checking the relevance of current learning outcomes with industry standards and making sure that they support the mission of the College and University.
- Study plan changes must be carefully considered and for which relevant feedback must be provided.
- Observing facilities and keeping records.
- Ensuring that the department has the resources to deliver the academic program.
- Conducting interviews with the Dean, the Department Chair, and administrative staff. Interviews should also be conducted with students (individually and in groups) regarding their learning experience and their outcomes, satisfaction levels and achievements.
- Considering DAU Values, Mission and Vision Statements, and corresponding statements for colleges. The Reviewer's report is part of a process intended to help guide future decisions about the program under review and should address the most important issues in this context of planning. Concrete suggestions for improvement are expected.
- Providing comments and recommendations on good practice and innovation relating to learning, teaching, and assessment and on opportunities to enhance the quality of the learning opportunities provided.
- Submitting a final written report (within six weeks of the site visit) that summarizes the findings and presents the recommended improvement measures. The final report of the external reviewers should be addressed to the Dean of the Unit.

### Materials provided

Materials are normally provided to enable external reviewers to familiarize themselves with the program. In this regard, at least four weeks prior to the visit, the department will provide each external reviewer with a recent copy of the following:

- The Self-Study Report (SSR).
- Program and course specifications.
- Program and course reports.
- The department's strategic plan.
- Program handbook.
- Any other relevant documents.

### Arrangements for the On-Campus Visit

The next phase of the review process involves setting a date for the external review and making the necessary arrangements regarding travel expenses and the schedule of the visit. A contact person must be nominated for communication and coordination purposes. During the visit, the department will also provide any documents, information, or evidence, such as authoritative minutes or examination papers, that the reviewer(s) requests.

#### A. Travel Expenses: The University will cover expenses for the following:

- Visa by HRD.
- Airline tickets.
- Transportation from and to the airport.
- Logistic arrangements (accommodation, internal transport, meals, and additional requests, which are approved on a case-by-case basis).
- The external reviewer will be paid (usually four- or five-days' work, as agreed, excluding the days of travel two days before and two days after the review).
- Reviewers will be reimbursed after the receipt of the final report.

**B. Schedule for External Review Visit:** Activities during the site visit are the following:

- Welcome and brief introductions by the Dean of the College and the Head of the Department.
- Meeting with program faculty members.
- Meeting with students representing all levels of the program.
- Meeting with administrative staff.
- Meetings with other stakeholders (graduates, employers, etc.).
- A tour of some DAU's facilities (classrooms, laboratories, library, etc.)
- Oral feedback meeting with the Dean, program faculty members and administrative staff, before the submission of a formal written review report.
- Closing Meeting with the faculty members and the dean and the vice president of the university.

**Actions Following the Review**

- After the visit or the submission of the review report, if there are any comments from the department regarding the report or visit of the external reviewer(s), the department should provide a feedback report with supporting documents; this should be provided within one week of the visit or the submission of the review report.
- As part of its quality assurance processes, the college/department under review, will be expected to consider the external review report, as well as the reviewers' comments and suggestions, and to take appropriate action through its annual action plans.

**5. Related Policies/ Documents/ Forms**

DAU 3-4 Program specification policy

[ER 1 Form.docx](#)

[ER 2 Form.docx](#)

[External Reviewer Conflict of Declaration Form.docx](#)

**6. Document History**

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes   |
|---------|------------------|---|
| 1       | 2020             | 1 <sup>st</sup> issue of the policy   |
| 2       | 10/ 2023         | -Procedure for the External Reviewing Processes added<br>-Qualifications of the Academic External review added. |

## DAU 3-7 Grading and Assessment Policy

| Policy Code  | Policy Name                   |                    |  |
|--|-------------------------------|--------------------|--|
| DAU 3-7  | Grading and Assessment Policy |                    |  |
| Responsible Executive  | Current Revision Date         | Next Revision Date |  |
| -Teaching Staff and Administrative Staff<br>-Deanship of Admission, Registration and Student Affairs | 10/2023                       | 10/2027            |  |

### 1. Policy Purpose

This policy describes how students' performance and exams are assessed, and how the final grades are recorded on the University system by the Deanship of Admissions, Registration and Student Affairs.

### 2. Policy Scope

This policy is applicable to all courses within each academic department at DAU, including both undergraduate and postgraduate courses.

### 3. Policy Statement

Each academic course in DAU has a direct student learning assessment system, which is consistent with the course objectives and program learning outcomes. Instructors use these semester-wide embedded assessments to gauge a student's progress and achievement throughout each semester.

### 4. Policy Procedure

DAU has adopted continuous students' assessment model based on:

- Class Participation, Class Presentation and Attendance
- Homework assignments and tests
- Laboratory Assignments
- Quizzes
- Mid-Semester Examination
- Projects
- Final Examination

#### Course Grading Scale Setup

- The instructor of each course/section is required to enter the grading components of his/her course on the DAU's Learning Management System (LMS) during the first week of the semester.
- The instructor should follow the course assessment methods, which are described in the approved course syllabus.
- The overall score is normally distributed as follows:
  - 30 % for semester tests and activities,
  - 30% for the Mid-Semester Examination
  - 40% for the Final Examination

The grading scale should be shared with students during the first week of classes.

## Grading Process

- On completion of each grading component (a quiz, an assignment, tests, and a Mid-Semester exam), the instructor will log the grade on the LMS for every student, not later than One week after the grading of that component.
- The instructor can modify/review the grade of any component at any time before submitting the grade to the SIS.
- Once the grades are submitted to the SIS, any changes to the grades will have to be processed using the Grade Objection Request procedure given below.

## Calculation Of GPA

A cumulative grade point average (CGPA) is calculated for all attempted credit courses completed to date at DAU, by dividing the total number of grade points earned by the total number of credits attempted. The grade earned in an attempted course determines the number of grade points earned per credit hour of the course.

## Grade Calculation

Final grading will be the average of a minimum of three individual exams and/or assignments earned by the student during the course. These grades could include a combination of grades for: class presentations; class participation, class presentation and attendance; homework assignments and tests; laboratory assignments; quizzes; mid-Semester and final examination; projects. The combination of these items makes up the final determination of the course grade.

## Grade Submission

- The instructor should share the grades with the course coordinator, the Head of the Department, and the Dean of the College to get them approved. Once approved, the grades are entered through the University assessment SharePoint (SIS).
- If the Deanship of Admission, Registration and Student Affairs finds any blank cells in the grades entered by the Instructor on the SIS, then the college's secretary will be notified immediately to notify the instructor for correction.
- If the Deanship of Admission, Registration and Student Affairs finds no discrepancies in the course grades, then the electronic copy is certified/locked, And the grades automatically rolled to the student's transcript.
- When the electronic copy is certified/locked, the instructor will no longer be able to unlock the grades book and make further changes.

## Procedure for Grade Modification

- Students can submit an e-request for Grade Appeal in a course at the Online Request System during the period shown in the academic calendar (the next two weeks following the announcement of the results).
- The request for grade objection will appear automatically to the instructor, Head of the Department (HOD) and Dean of the College.
- Head of the department will assign any faculty from the same department to review the grade (continuous and/or final exam).
- The Reviewer will review the grade and decide if the grade will remain unchanged or review the grade upwards or downwards by giving the justification of the modification. He/she can request any document from the instructor to review the marks. Instructor provides all necessary to facilitate the task of the reviewer.
- Once the HOD approves the decision of the reviewer, he/she will send back the e-request with his decision to the Deanship of Admission, Registration and Student Affairs for action, an automatic notification will be sent informing the student of the decision.
- The student cannot introduce another Grade complaint for the same course if the grade was kept unchanged.



- If the Instructor is no longer at DAU, the Head of the Department will investigate the Appeal made by the student by reviewing the grades left by the instructor and the answer sheet of the final exam of the student.

### Copies of Final exam papers

- Each Instructor should hand back the answer sheets of the students to the Head of the Department to be kept for 2 regular semesters.
- The instructor should attach to his/her end-of-semester report (course file), a copy of all tests, the Mid-semester exam, and the Final Exam along with the answers to each question and the mark of each question.
- The instructor should also attach a copy of the Three answer sheets of the Mid-semester exam and the Final Exam of students who have obtained the best, middle, and worst grades (A, C, and D) respectively.

### Submission of the Final Grades

- The instructor is expected to submit the Grades on SIS within 96 hours from the date of the Final Exam.

### Schedule of the Final Exam

- The duration of the Final Exam is 120 minutes for all non-practical courses.
- The Final exam must be administrated on the day, the time, and place as announced on the Final Examination Schedule.
- Instructors must use the University grading system, which is shown in the following table:

### DAU Grading System

The student's final course grade will be one of the above Nine levels:

| Letter Grade | Marks              | Points | Grades in English |
|--------------|--------------------|--------|-------------------|
| A+           | 95 - Less than 100 | 4.00   | Exceptional       |
| A            | 90 - Less than 95  | 3.75   | Excellent         |
| B+           | 85 - Less than 90  | 3.50   | Superior          |
| B            | 80 - Less than 85  | 3.00   | Very Good         |
| C+           | 75 - Less than 80  | 2.50   | Above Average     |
| C            | 70 - Less than 75  | 2.00   | Good              |
| D+           | 65 - Less than 70  | 1.50   | High Pass         |
| D            | 60 - Less than 65  | 1.00   | Pass              |
| F            | Less than 60       | 0.00   | Fail              |
| IP           | -                  | -      | In Progress       |
| IC           | -                  | -      | In Complete       |
| DN           | -                  | -      | Denial            |
| NP           | More than 60       | -      | No Grade - Pass   |
| NF           | Less than 60       | -      | No Grade - Fail   |
| W            | -                  | -      | Withdrawn         |
| E            | -                  | -      | Exemption         |
| T            | -                  | -      | Transferred       |
| D2           | 60                 | 2      | Pass 2            |
| AL           | -                  | -      | Substitute        |

- The "in progress" grade (IP) will be assigned to students registering in courses that extend to more than one semester.

- The “incomplete” grade (IC) will be given to a student who fails to attend the final exam with an acceptable excuse.
- The “denial” grade (DN) will be given to students to fail to attend a certain minimum of lectures in a course as denied earlier.
- The “no grade pass” grades (NP) or “no grade fail” grade (NF) are assigned for courses offered based on pass or fail, such as thesis and summer training.
- The Withdrawal grade (W) is for students who are permitted to withdraw without any penalty.
- The “credit transfer” grade (T) is issued for alternate methods of earning credit such as transferring credits from other institutions. The credit transfer grades (T) are not included in the student’s cumulative GPA.

### Standing Range of Cumulative GPA

The standing range of the cumulative average upon graduation is as follows:

- Excellent: If the GPA is not less than 3.50 out of 4.00.
- Very Good: If the GPA is from 2.75 to less than 3.50 out of 4.00.
- Good: If the GPA is from 1.75 to less than 2.75 out of 4.00.
- Pass: If the GPA is from 1.00 to less than 1.75 out of 4.00

### Cumulative GPA Re-calculation Rules

A student who fails to achieve the minimum academic standing can submit a petition for cumulative GPA recalculation as described below, however, the student’s cumulative GPA should not be more than 1.00 (out of 4.00) after recalculation.

The following are the specific rules pertaining to GPA recalculation (applicable only at the time of graduation if the cumulative GPA is lower than 1.00)

The student applying for cumulative GPA recalculation must successfully finish all graduation requirements.

- The grades F, DN, and WF may be excluded by subtracting the number of credit hours of a certain course from the total credit hours used in calculating the student’s cumulative GPA and subtracting the quality points assigned to these credit hours from the total quality points used for calculating the student's cumulative GPA.
- The total credit hours of the courses to be excluded from the cumulative GPA calculation should not exceed 24.
- The academic record must include all the grades of the courses taken by the student, showing the grades earned on each occasion. A special mark should be introduced to identify the courses excluded from the cumulative GPA calculation.
- The academic record should show the recalculated cumulative GPA.
- Under no circumstances will the recalculation of cumulative GPA raise the GPA above 1.00, which is the minimum required to satisfy graduation requirements.

### Honors

First honors will be granted to graduating students who achieve a cumulative GPA of  $3.75 < 4.00$ . Second honors will be granted to graduating students who achieve a cumulative GPA of  $3.25 < \text{less than } 3.75$ .

At the end of each semester, the Registrar Office records the names of distinguished students on the University’s distinction list, based on their semester GPA and the quality points earned in this Semester. The Honors granted for the following:

- The student must not have failed in any course at the university he is currently attending or any other university.
- The student must have completed all graduation requirements within a period of duration ranging between the maximum and minimum limits for completing the program of study in a college.
- The student must have completed 60% or more of the graduation requirements at DAU.

Note: [Undergraduate students Teaching and Examination in DAU.pdf](#) clarifies all grading system in DAU.

## 5. Related Policies/ Documents/ Forms

[Undergraduate students Teaching and Examination in DAU.pdf](#)

DAU 3-18 Examination Control Policy

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes   |
|---------|------------------|---|
| 1       | 2016-2017        | 1 <sup>st</sup> issue of the policy   |
| 2       | 10/2023          | -Changing the name of the policy by removing “DAU” and adding “grading”.<br>-Developing the grading and the assessment systems in DAU attaching new regulations of grading and examination. |

## DAU 3-8 Field Training Policy

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 3-8  | Filed Training Policy |                    |  |
| Responsible Executive  | Current Revision Date | Next Revision Date |  |
| - Deanship of Admission, Registration & Student Affairs<br>- Community Engagement and industry linkage committee (CE&ILC)<br>- College staff and faculty members | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

DAU's field training aims to bridge the gap between academics, the community, and the workplace. It provides students with valuable opportunities to gain real-world experience and apply their knowledge.

### 2. Policy Scope

This policy applies to all undergraduate students and academic programs.

### 3. Policy Statement

Field training is an integral part of DAU's academic programs. The total credit and contact hours of the field training course vary among DAU academic programs depending on the requirements of each academic program. During field training, the student is simultaneously supervised by a faculty member and a professional in the respective field. Students receive guidance, feedback, and evaluations from both.

The student must fulfill the following requirements to enroll in field training:

- Completed at least 65% of the academic program study plan's credit hours.
- Earned Cumulative and Major GPA of 1.0 or above.
- Completion of any special departmental requirements.
- Not subject to dismissal for academic causes.
- Be completely devoted to field training without other commitments. Other courses may not be combined with field training. One course may be exempt if the remaining credit hours to graduate are three or less.

### 4. Policy Procedures

- Academic programs need to identify potential training sites that are relevant to the program's curriculum, learning objectives and learning outcomes. Training sites can be nominated by students if they meet the program's eligibility requirements and are not owned by them or their family members.
- Evaluate the potential training sites to ensure that they meet the program's standards for safety, quality, and supervision.
- Contact the potential training sites to discuss the possibility of a partnership.
- Negotiate and sign a field training agreement with the approved training sites.
- Inform students about the field training opportunity through program orientations, informational sessions, or course syllabuses.
- Provide students with details about the field training objectives, expectations, and requirements.
- Field training placements are assigned to eligible students based on their interests and learning objectives.

- Prior to field training, students must attend orientation sessions. It provides an overview of the field training program, safety protocols, expectations, and any additional guidelines or regulations they may need to follow.
- A faculty member is assigned as field training academic supervisor for each student, and an industry professional on-site is assigned as a field supervisor.
- Training plans should be developed by the field supervisor in coordination with the academic supervisor.
- Students' progress and learning are evaluated throughout the field training period through regular check-ins and site visits by field supervisors to assess students' performance and provide feedback.
- Upon completion of the field training experience, the academic program chair should form a committee of at least two members.
- The student trainee presents a detailed report outlining what the student has learned during the training period and the extent to which they have achieved the goals and learning outcomes of the field training course. The report also includes their accomplishments, as well as the challenges they encountered during the training period.
- The academic supervisor and committee members evaluate the performance of the students during the field training and determine the appropriate grade or score.

#### 5. Related Policies/ Documents/ Forms

[Field Experience Report.docx](#)

[Field Experience Specifications.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Summary of Changes                  |
|---------|------------------|-------------------------------------|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy |

## DAU 3-9 Credit Hour Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 3-9   | Credit Hour Policy    |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| -Academic Program Development Committee (APDC)<br>-Deanship of Admission Registration and student affairs | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy defines a credit hour and describes the allocation of credits to different courses DAU.

### 2. Policy Scope

This policy applies to all courses in colleges at DAU.

### 3. Policy Statement

DAU follows the guidelines set by the NCAAA/ Course Specification which identify the course credit hour: Number of credit and contact hours based on the teaching mode. It is calculated by the number of hours of instruction required to achieve the course learning outcomes. APDC at DAU reviews and approves all programs/courses and certifies that the expected student learning for the course meets the credit hour standard. DAU follows a Two-semester system, with the fall and spring semesters consisting of approximately 15 weeks of instruction, which does not include final exam week. Hours of classroom instruction cannot be calculated to include exams (i.e., final exams), holidays and registration week. There is also an optional condensed summer semester consisting of approximately 10 weeks. Course credit is largely based on contact hours, which represents the time spent by students engaged with the course instructor. One credit hour equals approximately:

- One hour of time in class and direct contact with the faculty members
- Minimum Two hours outside of class (Laboratories) In independent learning or specific course assignments per week over a semester of fifteen weeks and an equivalent amount of work over a different amount of time.

### 4. Policy Procedures

Students should complete approximately 45 hours of student work per credit, total (e.g., 1 hour of class; 2-3 hours outside preparation; over 15 weeks). A class hour at DAU is typically 50 minutes to allow students and faculty time to transition between classes.

DAU's credit hour policy for the different types of undergraduate courses offered is:

- *Lecture*: A learning situation where a group of students engage in various forms of instruction under the direct supervision of a university faculty member. One contact hour of instruction equals one credit hour, over a fifteen-week semester. A typical three-credit-hours course will have around 45 contact hours per semester.
- *Laboratory*: This refers to courses with a focus on experimental/practical learning under the direct supervision of a faculty member wherein the student performs substantive work in laboratories. The Lab's two contact hours of instruction equals one credit hour, over a fifteen-week semester.

- **Internship and Training Courses:** These refer to Internship courses where the learning experience outside of a lecture setting and may also include a site supervisor. Supervising 3 coop trainees equal 1 hour of workload, over a fifteen-week semester.
- **Courses with Contact Hours in Excess of Credit Hours:** For courses in which contact hours are greater than credit hours, such as lab, nursing clinical, physical education activity, and studio courses, additional credit may be awarded when it can be demonstrated by the department chair that additional contact hours truly require greater effort on the part of the faculty member. The number of contact hours in excess of the credit hours are multiplied by a factor of 0.5, and then added to the credit hour value of the course.

Other Types of courses can be adopted:

- **Online Courses & Hybrid courses:** If the university wishes to offer online or/and hybrid courses, such courses will have the same learning outcomes and substantive content of a standard lecture course. University faculty members demonstrate through the syllabi that the content and activities equate to a standard assignment of lecture credit. Contact time is satisfied by several means which can include, regular instruction or interaction with a university faculty member, interactive tutorials, group discussions moderated by faculty, virtual study/project groups, etc.
- **Condensed Courses:** If the university wishes to offer an accelerated course (e.g., summer course), the total number of hours of classroom instruction required for credit awarded to the course would not change. In such case, the total required number of hours of instruction per credit is embedded into a shorter calendar period.

### 5. Related Policies/ Documents/ Forms

DAU 3-14 Teaching & Learning Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/ 2023         | 1 <sup>st</sup> issue of the Policy     |

## DAU 3-10 Distance Learning Policy

| Policy Code | Policy Name  |                       |                    |
|-------------|--|-----------------------|--------------------|
| DAU 3-10    | Distance Learning Policy   |                       |                    |
|             | Responsible Executive  | Current Revision Date | Next Revision Date |
|             | -DAU's IT Department<br>-Learning Resources and Libraries Unit<br>-Learning Sources Committee at college level (LSC)<br>-Faculty Members and course coordinators | 10/2023               | 10/2027            |

### 1. Policy Purpose

The distance learning policy defines the principles and guidelines for DAU responsible personnel when implementing the distance learning processes. The guidelines include training, technical support, resources, academic integrity, duties, and responsibilities of staff & students involved. These guidelines also apply to hybrid & blended learning.

### 2. Policy Scope

This policy applies to all distance learning courses and hybrid/blended courses taught at DAU.

### 3. Policy Statement

*Distance education* aims to provide learning opportunities to students in all locations remotely. Instructions and directions are provided to students in distance locations from those of the teaching faculty. DAU develops a distance learning policy that strictly follows the protocols and procedures set and approved by the Ministry of Education, and which is in full alignment with the University's strategic plan and educational mission. A distance teaching course is equivalent to a face-to-face course in terms of credit hours.

*Distance learning pillars:*

- Availability of e-learning environment and modern communication technologies.
- Providing interactive educational content that is appropriate to the nature of distance learning and ensures motivating and stimulating students' motivation towards learning.
- Developing the skills of faculty members in using teaching strategies and assessment methods appropriate for the e-learning and distance learning environment.
- Developing student skills to interact with the e-course content and communicate effectively with colleagues and faculty members.

*Student commitments:*

- The student must adhere to all policies and procedures regulating the distance learning process at DAU.
- The student is obligated to attend online lectures, and perform all electronic activities and duties based on the lectures schedule and course specification.
- The student's absence rate in the online course is subject to the DAU study regulations.
- In the case of cheating in e-exams or electronic duties, or committing plagiarism, the student will be subject to the penal systems according to the university regulations.

### 4. Policy Procedures

Procedures for E-Learning Processes at DAU:

- Commitment of DAU faculty members and College coordinators
  - Course coordinators and instructors must provide electronic content for each course on the e-learning system.
  - E-course quality standards should be implemented to comply with Quality Matters (QM) Standards.



- Course coordinators and instructors adhere to the course specification and standardize work among the course sections.
- Course coordinators and instructors shall apply appropriate assessment tools for the course in a manner consistent with the policy for the distribution of grades approved by the College Council and based on DAU's policies.
- Students' performance records should be kept in a suitable manner by faculty members.
- Availability & Access
  - LMS and MS Teams are essential communication channels used by teaching staff at DAU.
  - The online course is available to the course coordinator and instructors permanently during the semester 24 hours / 7 days a week.
  - Roles and responsibilities are distributed between the course coordinator and the course instructors regarding adding, updating, or deleting electronic contents (educational materials, assessment tools, learning activities, etc.).
  - Compliance with the quality of e-courses related to availability and access standards.
  - Access to the online course is available to students who are enrolled in the course permanently during the semester 24 hours / 7 days a week.
- Feedback in distance learning courses
  - Students should be able to track their learning progress through timely feedback throughout the course.
  - Instructors must make use of the e-learning system LMS services to provide feedback to students for each of the assessment tools.
  - Instructors must provide students with an opportunity to discuss feedback.
  - To ensure active interaction with students, instructors must respond to student inquiries through online or email discussions within 24 hours of receiving the inquiry.
- Student Support & Academic Advising
  - Students should receive clear information about available support services and resources, including academic advising.
  - Students must be provided with a student's guide at the course level, which informs them how to access the electronic course content, the digital library, references, and external electronic tools. The guide also provides information about how to conduct research, write articles, cite sources, use course-specific technology, and seek faculty assistance.
  - The grade assignment policy should be clearly defined in the LMS interface or even uploaded to the syllabus at the beginning of the semester.
  - Students should have access to technical support when needed, which should explain course technical instructions.
- Distance Learning Integrity
  - Students should be provided with resource references and permission to use educational materials as models of academic integrity.
  - References are provided for all materials used in the course. It applies to pre-published materials created by faculty members, articles, publisher materials, books, photos, graphic materials, tables, videos, audios, websites, slides, and other multimedia formats.
  - Instructors must enforce the Academic Integrity policy and inform students about it; in order to prevent fraud and literary theft.
  - Instructors must use plagiarism and literary theft detection tools to prevent this misbehavior.

Note:

Students who violate laws and regulations are subject to penalties.

### 5. Related Policies/ Documents/ Forms

DAU 5-7 Academic advising Policy  
DAU 5-8 Student Disciplinary and Academic Integrity Policy

### 6. Document History

| Version | Date    | Updated Information/ Summary of Changes |
|---------|---------|---|
| 1       | 10/2023 | 1 <sup>st</sup> issue of the policy     |

## DAU 3-11 UPP-General Education Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 3-11  | General Education Policy<br>University Preparatory Program (UPP) |                    |  |
| Responsible Executive   | Current Revision Date  | Next Revision Date |  |
| - DAU's Teaching Staff and Administrative Staff<br>- UPP's Academic Program Development Committee (APDC)<br>- UPP's Assurance Quality Unit<br>- Deanship of Admissions, Registration, and Student Affairs | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to provide all newly enrolled students at DAU with information about their general education course requirements.

### 2. Policy Scope

This policy applies to all newly enrolled students at DAU.

### 3. Policy Statement

General education courses at DAU are offered by the University Preparatory Program (UPP). The UPP offers general common courses (Unified University Requirement) allowing new students the opportunity to broaden their general knowledge and enhance essential generic/transferrable skills, to make informed decisions about many aspects of their lives. The courses are designed to complement professional outcomes of major degree programs by exposing students to areas of study outside of their chosen fields. UPP courses follow the program study requirements framework set out by the Ministry of Education and are in full alignment with DAU's Mission and its intended graduate attributes.

### 4. Policy Procedures

The UPP offers a total number of 31 courses amounting to a total of 87 credit hours. These courses are all mandatory and integrated into the study plans of degree programs at DAU.

|  |            |                 |
|--|------------|-----------------|
| Oral & Written Communication Skills (English & Arabic)                                 | 15 courses | 50 Credit Hours |
| Learning Skills, Islamic Studies & Culture, Problem-Solving & Critical Thinking Skills | 6 courses  | 13 Credit Hours |
| Math, Statistics, and Computer skills.   | 4 courses  | 11 Credit Hours |
| Physics, Biology & Chemistry   | 3 courses  | 10 Credit Hours |
| Physical Education   | 3 courses  | 3 Credit Hours  |

- The UPP courses are part of the program study plans of undergraduate students at DAU.
- There are different general education courses that colleges include in their study plans, as follows:

| # | College   | No. of UPP Credit Hours |
|---|---|-------------------------|
| 1 | College of Pharmacy and Applied Medical Sciences        | 32                      |
| 2 | College of Dentistry                                    | 32                      |
| 3 | College of Medicine                                     | 32                      |
| 4 | College of Architectural Engineering and Digital Design | 35                      |
| 5 | College of Business                                     | 35                      |
| 6 | College of Law  | 22                      |

Credit transfer refers to the process of inclusion in the student's grades record of the totality of credits obtained in previous official study programs of another recognized university/institution. The following conditions apply when transferring credits:

- The student fills in an equivalency request form through the Deanship of Admission & Registration.
- The transferred course must belong to a recognized institution or university.
- The transferable course description and course syllabus will be presented to the Academic Program Development Committee (APDC) at UPP to decide on the course equivalency request suitability matching of the course content.
- The transferred course should be identical, similar, or equivalent with at least 70% to the equivalent course.
- The number of approved transferred credit hours should not be less than those of equivalent courses.
- It is permissible to equate more than one course with one course in the program to satisfy the number of transferrable hours or content condition.
- The percentage of transferred credit hours should not exceed 40% of the total credit hours of the target program.
- Equivalent courses are not calculated in the cumulative GPA and are recorded in the student's academic record.
- The passing grade of the transferred course should not be less than Pass (D = 1point).
- The transferred course must belong to the same academic degree as the equivalent course.
- Approval of equivalency is based on recommendation of the Academic Program Development Committee (APDC) and the approval of UPP Director.

**UPP Courses Quality Assurance Procedures:**

To ensure quality of UPP courses, the following procedures apply:

- Each course has well-formulated, measurable course learning outcomes (CLOs) that align with the latest Education & Training Evaluation Commission standards and follow the most recent templates set out by the NQF. Every CLO covers the domains of learning Knowledge & Understanding, Skills, and Values.
- UPP CLOs align with the DAU's mission and related academic program learning outcomes.
- Each course must have a planned syllabus whose content aligns with the related CLOs.
- A course file for every course must be finalized at the end of academic semester by the course coordinator, using the most updated ETEC-NCAAA templates.
- Course files are reviewed by the Quality Assurance Unit at the UPP level and detailed reports are shared with DAU's Quality Assurance Directorate.

**5. Related Policies/ Documents/ Forms**

NA

**6. Document History**

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-12 Postgraduate Completion Requirements Policy

| Policy Code   | Policy Name                                 |                    |  |
|---|---|--------------------|--|
| DAU 3-12  | Postgraduate Completion Requirements Policy |                    |  |
| Responsible Executive   | Current Revision Date                       | Next Revision Date |  |
| - Postgraduate Studies Standing Committee<br>-Deanship of Admissions, Registration, and Student Affairs<br>-Teaching Staff and Administrative Staff | 10/2023                                     | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to outline the bylaws and procedures that govern postgraduate master's Programs at DAU. [DAU Postgraduate Completion Requirements.pdf](#).

### 2. Policy Scope

This policy applies to all postgraduate students enrolled at DAU and is relevant to all academic departments and committees, taking in consideration Bylaws of Studies and Exams for the Bachelor and the Organizing Bylaws for Graduate Studies in Saudi Universities and their Implementing Rules issued by DAU.

### 3. Policy Statement

Postgraduate Programs follow the academic levels system, which divides the academic year into Two academic semesters. There may be a summer semester, which is half the duration of an academic semester with double load teaching hours.

Students are responsible for knowing and following the Academic Bylaws, Rules, Implementing Regulations, and Instructions including all requirements for obtaining an MA Degree. Therefore, every student should be thoroughly familiar with their Study Plans, seeking the assistance of his/her Academic Advisor, the Department Chairman, or the College Dean in this respect.

### Master's Program Credit Hours

The study plan for any master's degree includes academic MA courses, field work, applied work and laboratory work. The minimum number of required MA credit hours to graduate with MA Degree is 42CH distributed over at least four semesters NOT including neither summer semesters nor semesters with complementary courses. The University Council may extend the study duration of the degree based on a proposal submitted by the Permanent Committee of Graduate Studies if it does not exceed half of the aforementioned period.

### Postgraduate Programs in DAU

- The minimum number of registered credit hours per semester (main or summer) is 3CH.
- The maximum number of credit hours per main semester is 12CH and 6CH in summer semester.
- The Maximum number of credit hours can be extended up to 15CH with the approval of the Dean of Admission, Registration and Student Affairs based on the recommendation of the College Dean if the student is graduating this semester or if it is not affecting the minimum 4 semesters required to stay in MA Program.
- The duration for obtaining the academic degree is calculated as from the beginning of enrollment in the postgraduate courses for the program the student is enrolled in until the date of completion of program requirements, or until the submission of a completion report accompanied by a copy of thesis, if any, by the supervisor to the department head/ postgraduate program head.

### Creation and Approval of New Postgraduate Programs

The University Council sets the detailed standards and procedures to approve a new postgraduate program if:

- The related bachelor's Program has been accredited by the Education and Training Evaluation Commission (ETEC) or by one of the international bodies accredited by the commission to approve Higher Diploma or Master Programs.
- The concerned department should have enough Full Professors and Associate Professors specialized in the field of the master's Program.
- Availability of adequate research resources, including laboratories, computer facilities, ...etc.
- An adequate number of admitted students to guarantee program continuity, provided the maximum capacity for any section is 25 students.
- Joint Postgraduate Programs may be created between Two or more departments in the same college and between two or more colleges according to rules and procedures set by the University Council based on a recommendation by The Permanent Committee of the Graduate Studies- PCGS
- The University should take in its consideration Both the Unified Saudi Classification for Educational Levels and Specializations as well as The National Qualifications Framework in the Kingdom of Saudi Arabia.

### 4. Policy Procedure

#### The Postgraduate Students Admission Process:

- Bachelor's degree with an academic standing of at least "Good" (C) from a Saudi University or from a university recognized by the Ministry of Education in the Kingdom of Saudi Arabia. The College Council based on the recommendation of the Concerned Department may also admit applicants whose academic standing is less than "Good" provided the applicant is required to pass complementary courses in one semester or more with overall GPA is "Very Good. Applicants with Higher Diploma after bachelor's degree in the same major may be admitted if their overall GPA is at least 'Good" (C). Applicant must have a university degree from a Saudi university or another recognized university with a grade of no less than Very Good.
- Meeting any other requirements which are determined by the University Council during the admission period.

### Course Grading

All Master Courses are subject to the grade system according to the grading in Bylaws of Studies and Exams for the Bachelor with the following exceptions:

- The minimum required grade for passing a MA course is High Good (C+).
- The student must pass the complementary course from the first time with no less than High Good (C+), provided that the cumulative GPA for all complementary courses is not less than Very Good.

### Postgraduate Thesis

- *Supervision & Defense*

The thesis proposals are presented to The Permanent Committee of the Graduate Studies- PCGS for discussion, which will in turn send them to the University Council for approval.

The following conditions apply for thesis supervision:

- The number of students registered for the research project course is not less than Five students. Exceptions can be made by the college council if not enough students are enrolled or in other cases approved by the council.
- A thesis supervisor may supervise a maximum of 7 theses at a given time. Exceptions can be made based on a recommendation by department and college councils following regulations put forward by the University Council based on the Postgraduate studies Committee's recommendation.
- Master theses are written in the teaching language approved by the University Council, provided that the scientific thesis contains a full summary in Arabic in case it was written in another language.
- The supervisory panel may include professors and associate professors from the University's faculty members. An assistant professor may supervise graduation research projects and master's theses if

he/she has two publications research in their field of specialization or has two admitted for publication in a high impact scientific journal.

- The supervisory panel may include qualified, experienced non-faculty members with strong experience in the field related to thesis from inside the University or outside it, upon a recommendation of the department council and the approval of the college council.
- The supervisor evaluates the student's performance at the end of each semester, and assesses the extent of his/her progress, according to the mechanisms approved by the Committee.
- Upon finishing thesis preparations, the supervisor submits a completion report to head of the department/ head of postgraduate program, accompanied by a copy of the thesis in preparation for thesis defense procedures

- *Thesis Defense Committee*

Thesis defense; is an oral presentation and discussion of a submitted thesis. The thesis defense committee is formed upon a decision by the college council based on recommendation of the department council. The University Council sets the regulations and procedures for selecting members of the Committee.

The main roles and responsibilities of the Committee:

- The thesis defense committee submits a report signed by all its members to the head of the department/ head of postgraduate program within a week from the date of the discussion, including one of the following recommendations:
  - *Acceptance of thesis and recommending the degree conferral.*
  - *Acceptance of thesis with some amendments*, without further discussion. Amendments to be made within three months and checked by one of the defense panel members.
  - *Acceptance of thesis with amendments*, thesis defense resumed after making required corrections within a time specified by College Council based on recommendation of the department council, if it does not exceed one year from the date of the discussion.
  - *Rejection of thesis*
- Each member of the discussion committee has the right to report his/her own opinion and reservations in a detailed report to the department head/ head of postgraduate program within a week of the defense date, which is submitted to the dean of the college with the Committee's report.
- The head of department/head of postgraduate program shall submit the thesis defense committee's report to the college dean within a maximum of two weeks from the date of receiving the report, who will report it to University Council.

- *Grade Calculation and Conferral of the Graduation Degree*

Grade calculations for postgraduate courses follow the same system as those in undergraduate courses clarified in (DAU 3-7). A student graduates after fulfilling all graduation requirements.

The students get their Graduation Degree in the case of the following:

- after successfully completing graduation requirements as per the program's study plan, provided that his cumulative average is no less than the one specified by the University Council for each program, and in all cases not less than Very Good.
- The concerned Dean or Vice-Dean submits a recommendation to the University Council for decision on granting the degree.
- In the case of a joint postgraduate program where the student obtains the same degree from two educational institutions, a joint graduation document may be issued by the two programs, or an independent graduation document is issued by one or both educational institutions.
- A student may be granted, upon his/her request, a Higher Diploma degree in the specialization of the Master program in which he was enrolled, if he/she has successfully completed a minimum number of 24 credit hours and has spent at least two semesters since joining the program. The University Council may grant the High Diploma degree based on a proposal by the Committee upon a recommendation by the department and college Councils.

- Upon a recommendation by department and college councils, the Deanship of Admission & Registration shall issue a statement verifying the student's passing of several postgraduate courses without being qualified to obtain the master's degree based on his/her academic record.

### Dual Postgraduate Programs

Student may be accepted into Two postgraduate programs at the same time, provided that:

- The student must meet the admission requirements for both programs.
- There is no time conflict between courses of the two programs,
- The two programs should be of similar academic levels whether they belong to the same college or two different colleges within the university.
- The Deanship of Admission & Registration sets the procedures for registering these students, whether they have one university ID or two.

### Credit Transfer

Credit transfer refers to the process of inclusion in the student's grades record of the totality of credits obtained in previous official study programs in another recognized university/institution. The following conditions apply when transferring credit:

- The student fills in an equivalency request form through the Deanship of Admission & Registration.
- The transferred course must belong to a recognized institution or university.
- The student submits an approved detailed course specification of the transferred course.
- The transferred course should be identical, similar, or equivalent with at least 70% to the equivalent course.
- The number of approved transferred credit hours should not be less than those of equivalent courses.
- It is permissible to equate more than one course with one course in the program to satisfy the number of transferrable hours or content condition.
- The percentage of transferred credit hours should not exceed 30% of the total credit hours of the target program. An exception can be made up to 40%, with the approval of The Permanent Committee of the Graduate Studies- PCGS or who deputies it.
- Equivalent courses are not calculated in the cumulative GPA and are recorded in the student's Official Academic Record (Transcript).
- The passing grade of the transferred course should not be less than Very Good (B).
- The transferred course must belong to the same academic degree as the equivalent course.
- Approval of equivalency is based on recommendation of the relevant Department Council/Postgraduate council and the approval of college council.

### Admission Postponement

Upon approval of the Department Council/Postgraduate council concerned and Dean of the College, a student can apply for postponement of admission for One time. Postponement requests cannot be accepted after the student has started his studies, based on regulations approved by the University Council following a proposal by the Permanent Committee of the Graduate Studies- PCGS.

The following conditions apply postponement:

- The student submits a request to postpone admission through the academic system before registering for academic courses.
- The request takes effect following the approval of the concerned Department Council and the Dean of the College.
- If a request to postpone admission is submitted after registering for courses and starting study, the rules for postponement of registration apply.

### Postponement of Study

Upon recommendation of the relevant Department Council/Postgraduate council and the approval of the College Council, a student may apply for postponement of study with following procedures:



- The student submits a request for postponing of study for one semester or more before the beginning of the semester via SIS.
- The total number of postponed semesters is Four semesters provided the student completed at least one semester in the program.
- The suspension period is not counted towards the maximum period required for obtaining the degree.

### Dropping Courses/Withdrawal

The student may drop one or more courses, or all courses of a given semester after the end of the registration period upon the recommendation of the concerned Department Council and the approval of College Council according to regulations approved by the University Council based on the proposal of the Committee.

A student may drop a course if:

- He/she hasn't exhausted the allowed postponement period, which is two academic years.
- The drop request is submitted in line with the semester's academic calendar with a W grade.
- A student who has withdrawn from the university for more than Six semesters is treated as a new student upon registration. The respective department may calculate what it deems appropriate of the courses that the student passed before his/her withdrawal, in case the withdrawal period does not exceed six semesters.

### Blocked Status

A student's status is Blocked as per the following cases:

If the student does not register for any course in the allowed registration period indicated in the Academic Calendar.

- If he/she failed to pass the complementary courses as per rules and regulations approved by the Permanent Committee of the Graduate Studies- PCGS, including overall GPA (Very Good) in Complementary course.
- If his/her overall GPA is less than (Very Good) for two consecutive semesters in MA courses.
- If it turns out that his/her acceptance is based on providing incorrect information or documents in whole or in part.
- If he/she fails to obtain the academic degree within the maximum period for MA Graduation.

The student's status is Blocked upon a decision of the Permanent Committee of the Graduate Studies- PCGS based on the recommendation of the Department Council and approval of College Council in the following cases:

- If it is proven that the student is not serious at the thesis writing stage.
- If the student fails to pass the comprehensive Exam after being allowed to repeat it once.
- If the thesis judging committee decides that the thesis is not valid for discussion or has not been accepted after discussion. However, upon a recommendation from the department council/Postgraduate council, the College Council may grant the student an additional period not exceeding one academic year.
- If the student breaches academic integrity at any stage of study, including that of the preparation of the thesis, or breaches the related rules and regulations.

### Postgraduate Students Transfer

- *Transfer from Another University to DAU*
  - Upon a recommendation by the relevant Department Council and College Council, a postgraduate student may transfer to DAU from a university or institution inside or outside the Kingdom, if it is licensed by the competent Transferring from a college or a university recognized by the Ministry of Education in the Kingdom of Saudi Arabia.
  - Meeting all admission conditions related to the concerned program.
  - No record of being expelled for any disciplinary reasons by the university/ college the student is transferring from.
  - Meeting all transfer requirements set by the Graduate Studies Unified Bylaws in Saudi Universities and its implementing rules at Dar Al Uloom University.

- Meeting all requirements for course equivalization set by the Graduate Studies Unified Bylaws in Saudi universities and its implementing rules at Dar Al Uloom University including the following:
  - Student must have obtained the course grade of NO less than “Very Good”.
  - Course description of the equivalent course must cover at least 70% of the course description of the equivalized DAU course.
  - The number of credit hours of the equivalent course must be equal or greater than the number of credit hours of the equivalized DAU course.
  - Ratio of total number of credit hours of equivalent courses must NOT exceed 30% of the total number of the required credit hours to graduate from DAU. The Chairman of the Permanent Committee of Graduate Studies (PCGS) may increase the percentage up to 40% of the total number of required credit hours to graduate from DAU based on the approval of the College and the recommendation of the concerned Department.

- **Transfer from Program to Another within DAU**

A student may transfer from one program to another within the university based on recommendation of the department and approval of the college to which he is applying for transfer in line with the terms and conditions approved by the University Council based on the Permanent Committee of the Graduate Studies- PCGS

The following conditions apply when transferring from program to another program:

- The student applies for transfer through the academic system and the application is presented to the relevant department council for approval.
- The Department Council may request that the student fulfills any other conditions that it deems necessary.
- Upon approval of the department/postgraduate council, the application is submitted electronically to the dean of the college for approval.
- Previously studied courses are recorded in the student’s academic record. Only similar courses to those in the study plan of the target program are calculated towards the overall GPA.

### Courses Taken outside DAU

Upon a recommendation by the Department Council and approval of College Council, a postgraduate student may study some courses at a university or educational institution inside or outside the Kingdom, if they are licensed by relevant authorities in the country of study. Passed courses are equalized and added to the student’s Official Academic Record (Transcript).

The following conditions apply for studying courses at a university or educational institution inside or outside the Kingdom:

- If the course to be studied in DAU is not offered (cancelled or suspended) or conflicts with another course registered by postgraduate student during the semester when the student fulfills all graduation requirements without this course.
- The student submits an approved detailed specification of the course: (1) the course to be studied inside or outside the kingdom must belong to a recognized institution or university, (2) it should be identical, similar, or equivalent with at least 70% to the equivalent course, and (3) the approved credit hours must not be less than those of equivalent courses in DAU's postgraduate program.
- The course to be studied inside or outside the kingdom should not result in a conflict in the postgraduate student’s schedule at DAU.

### 5.Related Policies/ Documents/ Forms

Bylaws of Studies and Exams for the Bachelor and the Organizing Bylaws for Graduate Studies in Saudi Universities and their Implementing Rules issued by DAU.

[DAU Postgraduate Completion Req.](#)

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 3-13 Program Development and Revision Policy

| Policy Code  | Policy Name                             |                    |  |
|--|---|--------------------|--|
| DAU 3-13   | Program Development and Revision Policy |                    |  |
| Responsible Executive  | Current Revision Date                   | Next Revision Date |  |
| -Standing Committee of Study plan and Academic System<br>-College and department councils<br>-Academic Program Development Committee at the college and department levels<br>-Teaching & Learning Unit | 10/2023                                 | 10/2027            |  |

### 1. Policy Purpose

Program Development and Revision Policy provides guidance on the process to be followed when developing new academic programs and reviewing existing academic programs/curriculums at DAU. The policy also outlines the roles of staff and committees involved in the process.

### 2. Policy Scope

The policy applies to all university staff members and committees involved in developing or revising academic programs at the university.

### 3. Policy Statement

In addition to developing new academic programs, DAU is committed to continuously reviewing and refining existing programs/curricula to ensure their relevance and currency in the market. Each department and program within the university is responsible for reviewing its curriculum every five years based on feedback from stakeholders (e.g., alumni, students, employers, faculty members). In accordance with the requirements of the Education and Training Evaluation Commission (ETEC), existing curricula/programs/courses should be revised so that they adhere to the Kingdom of Saudi Arabia's NQF. Furthermore, curriculum and program changes must align with DAU's mission and strategic plan.

### 4. Policy Procedure

#### Procedures for New Program Development

- *Preliminary Program Proposal*
  - The process starts with the academic department's Academic Program Development Committee (APDC) preparing an initial proposal for a new academic program using "[Proposal for a New Academic Program.docx](#)" template. The template items must be thoroughly researched and adequately justified.
  - The Department Council should review the initial proposal for the new program and, upon approval, forward it to the college dean.
  - The dean shall forward the proposal to the Academic Program Development Committee at the college level for further review and amendment.
  - Upon approval by the College Council, the final proposal will be forwarded by the dean to DAU's Standing Committee for Study Plans and Academic System (SCSPAS).
  - The SCSPAS shall review the initial new program proposal and, upon approval, forward it to the University Council for final approval.

- **Final Program Proposal**

- Once the initial proposal has been approved by the University Council, the APDC at department level has the responsibility for developing a detailed and comprehensive proposal for the new program. Development must ensure that it takes into consideration the following:
  1. Program academic accreditation standards must be complied with during program development, especially the "Teaching and Learning" standard.
  2. The Academic Program Development Committee must use the forms developed by the Education and Training Evaluation Commission-National Center for Academic Accreditation and Evaluation ETEC-NCAAA.
  3. Developing the program's learning outcomes in line with the National Qualification Framework and the requirements of the "Teaching and Learning" standard, and their consistency with the DAU's Graduate Attributes and the institutional learning outcomes.
  4. The total number of credit hours of the new program must at least be equivalent to the minimum required number of credit hours by the NQF. For more details, refer to [NQF](#).
- The Department Council shall select a panel of three external experts to conduct a comprehensive review of the new program's specification and study plan and amend the proposed program accordingly.
- Following approval by the Department Council, APDC at the College level, and the College Council, a detailed and comprehensive new program proposal will be submitted to SCSPAS.
- After approval by SCSPAS, the proposal will be forwarded to the university Council for recommendation of approval by DAU's Board of Trustees.
- The proposed new programs must be reviewed and approved by the Board of Trustees.
- The proposed new program with all supporting documents will be referred to the General Secretariat of Council of Universities Affairs (CUA) at the Ministry of Education for final approval.

### Procedures for Program Revision

As part of continuous improvement at DAU, program revisions are based on feedback from internal/external stakeholders and ensure the program's currency and relevance.

- **Minor Change**

A minor revision involves changes that do not significantly change a program's key characteristics (such as its goals, its learning outcomes, its mode of study or the total number of credits) and involves some minor changes. No approval is required from ETEC-NCAAA or the MOE for a minor change. Changes to a course's name or code, prerequisites, textbooks, learning resources, or assessment methods are examples of minor changes. Course content can be altered by 20% or less without affecting Program Learning Outcomes; core courses can be changed to electives without altering the credit hours, etc.

Minor revision procedures:

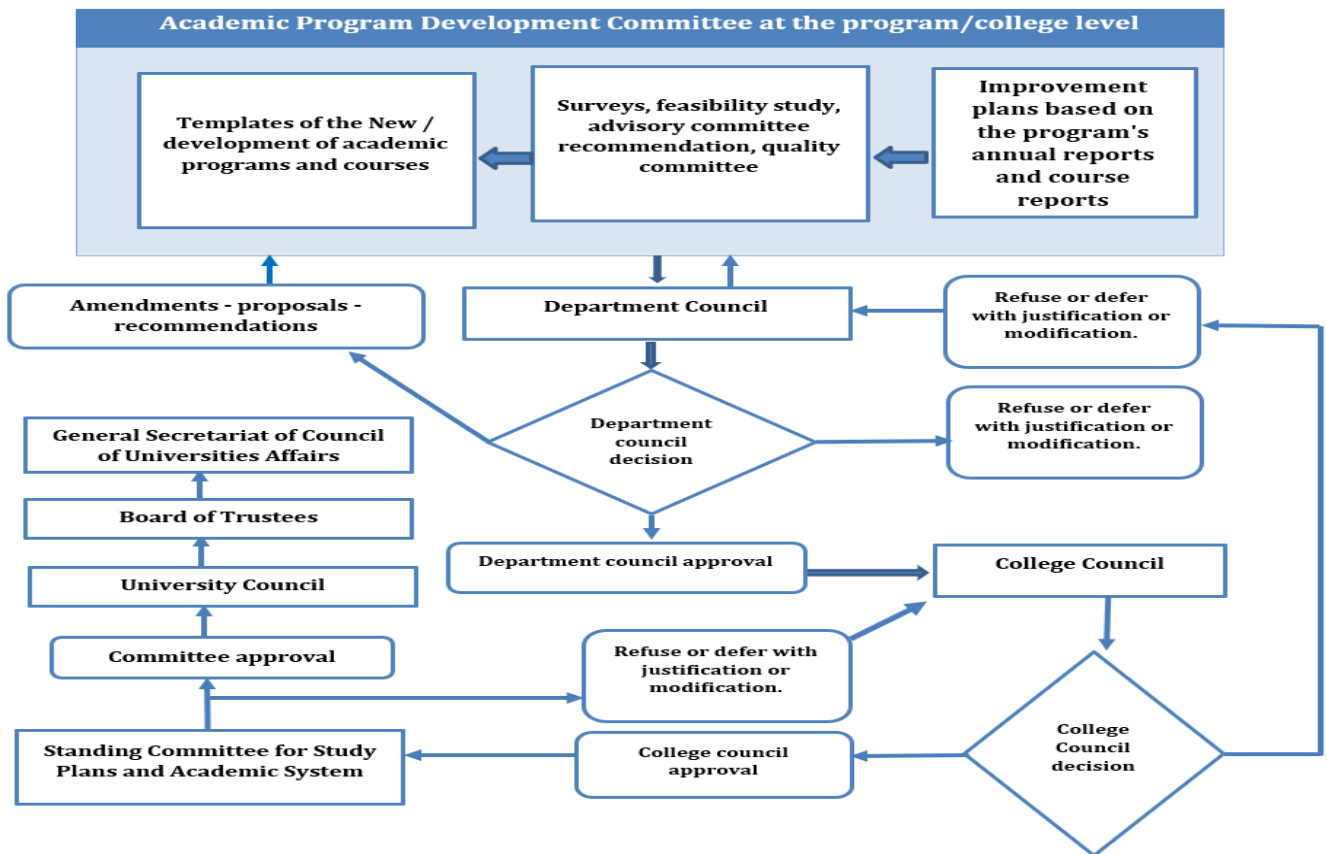
1. Changes to the program/curriculum can be made periodically, and not necessarily as part of the five-year evaluation cycle.
2. Minor amendments do not affect the overall structure or main characteristics of the program, so they are usually implemented at the departmental level following periodic course reviews or faculty recommendations.
3. Prior to submission to the Department Council for approval, a minor revision must be approved by the Academic Program Development Committee (APDC) at the college level.
4. The College Council must be notified of any minor changes approved by the Department Council.

- **Substantive (Major) Changes**

1. A change is regarded as substantive if it includes a change to the title of the program, a change to the number of credit hours or to the proportion of credit hours between core and elective courses, a change

- to the Program Learning Outcomes, a change to the language of instruction, a change to the mode of instruction (for example, intensive instruction, e-learning), etc.
- The Academic Program Development Committee (APDC) at the department level conducts a comprehensive curriculum review every five years in order to assess the current curriculum/program. In doing so, the APDC collects and monitors information regarding the current program from different internal and external sources, such as annual course and program reports, stakeholders (e.g. students, faculty members, College Quality Assurance Unit, employers, parents, industry organizations, accreditation organizations, local and international universities, etc.).
  - When curriculum changes are deemed necessary, the APDC submits an updated proposal to the Department Council. There must be proper justifications for the proposal, including recommendations regarding the program's vision, mission, study plan, learning outcomes, and specifications, as well as course specifications for all courses based on the ETEC-NCAAA standards and forms.
  - A comprehensive curriculum review proposal approved by the Department Council is then sent to the Academic Program Development Committee (APDC) at the college level for review and approval by the College Council.
  - Upon approval of the College Council, the proposal is submitted to SCSPAS for further consideration and approval.
  - The proposed revision is then forwarded to the University Council for review and recommendation of approval by the Board of trustees.
  - Upon approval by the Board of trustees of the substantive change, an official communication must be sent to the General Secretariat of Council of Universities Affairs (CUA).
  - Upon approval by the CUA General Secretariat, the academic program must implement the revision.
  - In the case that a program has received academic accreditation, ETEC-NCAAA must be notified of these changes using Substantive Changes.docx.

Matrix of powers to propose new/develop an academic program.



## 5. Related Policies/ Document/ Forms

[Academic Program Modification Template.docx](#)  
[Proposal for a New Academic Program.docx](#)  
[College template for study plan approval.docx](#)  
[Course modification template.docx](#)  
[Matrix of powers to create or develop programs.pdf](#)  
[National Qualification Framework.pdf](#)  
[Study Plan Template.docx](#)  
[Substantive Changes.docx](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-14 Teaching & Learning Policy

| Policy Code | Policy Name  |                       |                    |
|-------------|--|-----------------------|--------------------|
| DAU 3-14    | Teaching & Learning Policy   |                       |                    |
|             | Responsible Executive  | Current Revision Date | Next Revision Date |
|             | - Teaching and Learning Unit<br>- Directorate of Quality Assurance<br>- Quality Assurance Unit at the colleges<br>- Education Quality Process & Program Accreditation Committee at the Program Level<br>- Teaching Staff | 10/2023               | 10/2027            |

### 1. Policy Purpose

The Teaching & Learning Policy defines the principles and practices that guarantee effective learning and teaching at DAU. It can be taken as a guide on how to implement related strategies and procedures to achieve quality education at DAU.

### 2. Policy Scope

This policy is applied to all academic programs offered at DAU and is relevant to all academic staff and students.

### 3. Policy Statement

All academic departments at DAU are responsible for monitoring and maintaining a quality education system that is unique and meets the needs of the Saudi community, which is a major theme of the university's Mission. In accordance with the NQF, DAU implements an outcomes-based approach, focusing on learners' needs and clearly defined program and courses learning outcomes.

### 4. Policy Procedure

#### Major teaching and learning principles

To ensure the highest international standards in teaching and learning and prepare well-rounded graduates, DAU adheres following principles:

- *Enhanced, Effective Academic Programs:* Programs and related courses at DAU are designed with clear, measurable, and achievable learning outcomes and content that align with the DAU's Mission. Programs and courses are regularly reviewed and updated through a systematic cycle of program development, implementation, and evaluation to ensure their currency and effectiveness in developing knowledge, skills and attributes that reflect professional and industry requirements. As a result of the continued review cycle, the flexible programs and related courses are periodically customized to meet the emerging needs of the learner and demands of the marketplace. In doing so, the university employs a set of Key Performance Indicators (KPI's) for the teaching and learning process at both the program level and the institutional levels as well as internal and external benchmarks against which quality is assessed and updated.
- *Effective, Engaging Teaching & Learning Methodologies:* DAU guarantees that teaching techniques and approaches are varied and adaptive to new demands in learning and includes effective use of appropriate technologies and innovation. Enhanced teaching and learning methodologies are achieved by:

- adopting student-centered, flexible, cooperative learning techniques and methods that are informed by current pedagogical research and are intellectually challenging; these methods stimulate curiosity, critical awareness and increase student engagement.
  - evaluating and improving learning and teaching practices through a continuous cyclical process of feedback, reflection and revision that includes student feedback on their learning experience, peer review and class observation.
  - developing purposeful and innovative curricula that inspire and challenge students and encourage deep learning.
  - employing multifaceted modes of curriculum delivery that provide interaction, flexibility and encourages a wide range of teaching and learning activities, in addition to using appropriate technologies and resources.
- **Comprehensive Assessment Processes:** The ultimate purpose of assessment is to enable students to demonstrate achievement of the learning outcomes of the taught module. To do so, the University endeavors to provide a valid, reliable, transparent, and consistent assessment of learners, as required to support its Mission. This is achieved by observing the following criteria:
    - All assessment tools and content must incorporate clearly defined criteria and must align with stated learning outcomes of the units and courses and DAU's attributes.
    - All assessment tools must uphold and demonstrate ethical values including academic integrity and ethical use of resources.
    - Assessment methods are varied and are regularly reviewed and updated to ensure their currency.
    - Effective software is used to better assess the learning outcomes.
    - Timely, constructive feedback is provided to students about their assessment and areas for improvement are clearly highlighted.
    - Findings from students' feedback are used in improving planning and delivery.
  - **Supportive Learning Environment:** Students are at the heart of the educational process at DAU. At DAU all Students are given equal opportunities to succeed and be empowered to fulfil their potential. DAU endeavors to create a supportive learning environment in which all staff share the responsibility of creating a positive student experience. This is achieved by:
    - creating opportunities for all students to succeed through engagement, reflection, and commitment to learning. Communication between staff and students about the learning process is expected to be transparent, supportive, and mutually respectful.
    - raising students' self-esteem and building a sense of support and belonging by open, mutually respectful communication, shared understanding, and respect between and among students and staff.
  - **Innovative, Technology-Enhanced Student Support Services:** DAU is highly committed to providing students with an engaging environment that facilitates their learning experience and enhances their sense of belonging and encourages them to take control and assume responsibility for their own learning. To do so, DAU has taken several steps, including:
    - Providing orientation sessions to newly enrolled students.
    - Promoting the use of online services
    - Maximizing the use of technology-based, supporting smart systems (e.g. the Student Information System (SIS), the Learning Management System (LMS) to facilitate students' self-registration, academic advising, and other academic processes.
    - Facilitating communication with students via different means, including email, online platforms, smart phones applications, etc.
    - Making provision for the use of flexible online exams and testing.
    - Implementing the teaching and learning platforms (McGraw Hill, CENGAGE) that have been brought on by digital technological advances in the classroom.



- **Enhanced Graduate Employability Potential:** DAU is committed to delivering the best educational experience that places students at the center of the learning process that enables them to develop DAU's graduate attributes and become independent, highly knowledgeable, skilled, flexible, and globally engaged to maximize their employability. This is achieved by:
  - Equipping students with the desired attributes by providing them with opportunities for academic and career advising through the launch of the Student Support Center.
  - Developing students' technical and soft skills by providing opportunities for hands-on experience in contextualized workplace through engagement with industry current settings and curricular and extra-curricular activities.
  - Using alumni networks to further promote students' future success.
- **Supportive, Sustained Faculty Professional Development:** DAU aims at ensuring that faculty's teaching approaches are varied and employs up-to-date methodologies and appropriate technologies and innovation in line with international best practices and standards. To ensure that academic staff have the appropriate discipline knowledge, skills and qualification level DAU will continue to:
  - attract and retain high-caliber faculty members.
  - identify staff training and development needs and provide regular faculty professional development programs through its Quality Assurance Unit, teaching, and learning unit under the supervision of the Quality Assurance Directorate to promote their creativity and innovation in teaching and learning activities in line with advances in pedagogy and educational technology.
  - promote engagement with research activities and provide free access to various research databases.
  - judge and evaluate the performance of instructors and check that high standards of professional performance are established and maintained through peer observation and observation conducted by senior members academic units.

### Policy Implementation

- **DAU's Teaching and Learning Unit:** To realize DAU's Mission goals in enhancing the Teaching and learning process, a Teaching and Learning Unit has been established. The Teaching and Learning Unit have the following tasks and responsibilities:
  - Developing strategies, policies, and procedures for teaching and learning at DAU.
  - Monitoring and coordinating with quality units in colleges to ensure compliance with the requirements of the Education and Learning Standard (the third standard of institutional and programmatic accreditation standards).
  - Studying the alignment between course content, teaching and learning strategies, and assessment methods with course objectives and expected learning outcomes in coordination with quality committees in academic programs.
  - Monitoring the implementation of academic programs and courses' development plans based on the annual reports of the programs and course which are approved by department council and college council in coordination with quality committees in the academic programs.
  - Developing and implementing improvement plans based on institutional accreditation performance indicators analysis.
  - Monitoring academic programs in improvement plans implementation which is based on the programmatic accreditation performance indicators analysis.
  - Measuring the characteristics of graduates and learning outcomes at the institutional and programmatic levels in collaboration with quality units in the colleges and developing improvement plans based on these results.
  - Developing the suitable documentation system for study plans, academic program descriptions, course descriptions, ensuring quick and easy reference, especially in student transfer or conversion processes to and from the university which will facilitate the retrieval process for this data.
  - Establishing mechanisms to develop and improve teaching and learning requirements and equipment in DAU such as libraries, laboratories, study halls, and Internet rooms in various colleges.

- Monitoring student satisfaction with the quality of teaching, academic advising, professional advising, psychological advising, and all services provided to them.
  - Developing procedures and mechanisms to enhance the credibility of exams and student assessment methods.
  - Ensuring effective academic performance of students by verifying the provision of feedback to students based on their performance in exams and various assessment methods.
  - Performing any other tasks assigned by the unit related to its nature of work.
- **The Teaching & Learning Quality Assurance Cycle:**
    - Academic programs at DAU meet high standards through initial approval and performance monitoring, and evaluation in accordance with DAU' Mission, NQF, national development plans, and market demand.
    - To establish, monitor, evaluate and improve the quality measures of teaching and learning practices in the various academic units, a uniform Quality Assurance cycle has been established at DAU.
    - The Department Education Quality Process & Program Accreditation Committee reports regularly to the College Quality Assurance Unit.
    - DAU's Teaching & Learning Unit supports the quality assurance units at college level and oversees the overall teaching and learning quality assessment and assurance processes.
    - The whole process is supervised and guided by DAU's Quality Assurance Directorate. The final decision-making body is the University Council for any major changes that improve the quality of education.
  - **Implementing procedures:** The teaching and learning quality assurance process consists of numerous documented steps. As part of the process, all academic units are required to provide various kinds of documentation as evidence for the planning, doing, improving, and reporting at different levels. The university uses ETEC-NCAAA templates for documenting the following teaching and learning quality assurance process:
    - A course specification is prepared for every course in an academic year, which is in line with the relevant program specification, states the course content, teaching strategies and assessment measures used to achieve the course learning outcomes (CLO) and their contribution to the corresponding program learning outcomes (PLO). Course specifications are approved by related departments and college councils.
    - A course report is prepared for every course by every course instructor at the end of academic semester, which reflects the findings of the course he/she has taught in terms of CLO achievement results, grade statistics, course evaluation surveys and improvement plans for the following semesters. Course reports are approved by related departments and college councils.
    - A complete e-course file for every taught course is prepared within two weeks of the end of the academic semester. The course file includes, among other things documentation of assessment measures, students' academic performance samples, CLO data analysis, course specification, course reports of all taught sections and results of student surveys. Course files are checked by the Education Quality Process & Program Accreditation Committees at the level of the academic departments and by the college Quality Assurance Units.
    - Program specifications are annually prepared by each academic program and updated on a regular basis to reflect any changes in the curriculum, institutional policies, program administration or learning outcomes. Program specifications are approved by related college councils.
    - An annual program report is prepared by every academic program based on the findings in all course reports within the academic program. The annual reports include, among other things, statistics of results of survey/KPI's, recommendations for improvements, etc. Annual reports approved by related college councils.

- To close the loop, based on annual program reports, improvement action plans are prepared to be implemented in the following academic year under the supervision of the Academic Program Development Committees at the level of departments and colleges.

### 5. Related Policies/ Documents/Forms

DAU 3-3 Course file policy  
DAU 3-4 Program Specification policy  
DAU 3-13 Program Development and Revision Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-15 Undergraduate Completion Requirements Policy

| Policy Code  | Policy Name                                  |                    |  |
|--|--|--------------------|--|
| DAU 3-15   | Undergraduate Completion Requirements Policy |                    |  |
| Responsible Executive  | Current Revision Date                        | Next Revision Date |  |
| -Faculty members and Colleges Staff<br>-Deanship of Admission, Registration and Student Affairs<br>- Standing Committee of Study plan and Academic System<br>- Students Performance Committee at department and college levels | 10/2023                                      | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to outline the principles and procedures that admitted undergraduate students follow until their graduation. This includes degree graduation requirements, verification of program completion requirements, and degree conferral procedures.

### 2. Policy Scope

This policy applies to all enrolled undergraduate students at DAU.

### 3. Policy Statement

Each academic program must have a degree completion requirement as a part of the program curriculum which is approved by the Standing Committee of Study plan and Academic System (SCSPAS) and which is documented in the college academic catalog and in other policy documents.

### 4. Policy Procedure

#### Rules apply to the study plans

- A student's study plan specifies the time and content sequence of study subjects, as well as the form of assessment of study results. The student's success in all required courses and the pre-requisites for studying each course, as the student will not be allowed to register for a course for which he/she did not pass the previous requirement. Knowing the minimum and maximum number of credit hours that the student is allowed to register in his/her current situation (the student's academic load).
- In special circumstances, some students may change from one-study plan to another, provided this does not affect their graduation requirements.
- Changes to a study plan may result in some certain courses no longer being offered, or being discontinued, or new courses being added. Therefore, out of phase students should complete their graduation requirements in accordance with the time schedule of their original study plan. If the new study plan requires studying a course that has been canceled, and consequently it becomes impossible to register for such a course, the course could be substituted by an alternative course, consistent in level, subject area, and credit hours, with the approval of the academic advisor, the department council, and the college council. The Deanship of Admission and Registration should be informed about the approval of this substitution.
- A readmitted student will be subject to the study plan assigned to him during his last semester at the University before receiving discontinued status. However, if this plan has been canceled, he will be placed in the most recent plan in his major.

## Graduation Requirements

A student graduates after successfully completing the graduation requirements according to the study plan, provided his/her cumulative GPA is at least 1.00 out of 4.00.

This can be achieved as follows:

- The student is required to pursue his major study plan and complete all requirements before graduation.
- The academic advisor follows up his/her advises' progress through the student information system SIS.
- A student graduates completing all requirements of his study plan, provided that his overall GPA is not less than 1 out of 4 for all majors at university.
- The University Council may, based on the recommendation of the College Council, require a higher GPA for graduation.
- Following the recommendation of the department council, the college council may determine certain additional courses that the student should study to improve his cumulative GPA if he has passed the required courses, but with a low GPA.

## Verification of Academic Record & Granted Degree

The graduate's academic record must include all the grades of the courses taken by the student, showing the grades earned on each semester. A special mark should be introduced to identify the courses which have been excluded from the cumulative GPA calculation. The academic record should show the recalculated cumulative GPA. The procedure for the Academic Granted Degree is as follows:

- The Deanship of Admission, registration and student affairs thoroughly reviews all student academic records to ensure that all graduation requirements are satisfied.
- The Dean of Deanship of Admission and registration and student affairs submits the candid Graduation List to the Dean of College academic s listing the students nominated for graduation at the end of each semester.
- The list of candidates for graduation mentioned above should be approved by the University Council.
- A graduating student is obliged to obtain a clearance form and have it signed by relevant authorities.
- The Deanship of Admission, registration and student affairs prepares and releases the Official Graduation Certificates initialed by the Dean of the deanship of Admission, Registration, and Student Affairs and signed by the Dau President granting the appropriate Degrees and maintains copies of these documents.
- No change is to be introduced to the academic record after the graduation document is issued.
- The graduation certificates are then presented to the students after their approval and signature.
- The graduation certificates are presented to the candidates during the official graduation ceremony, or prior to the ceremony upon request by the candidate.
- The candidate receives one copy of the degree certificate.
- The degree certificate is written in both English and Arabic.

Note: [DAU Student Handbook.pdf](#) clarifies all the "Rules for Undergraduate Students in DAU" and [SIS Student Guide.pdf](#) clarifies how DAU's student use his/ her SIS.

## 5.Related Policies/ Documents/ Forms

DAU 3-7 Grading and Assessment Policy  
DAU 5-2 Undergraduate Admission Policy  
[DAU Student Handbook.pdf](#)  
[SIS Student Guide.pdf](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-16 Class Size Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 3-16  | Class Size Policy     |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| -Deanship of Registration, Admission, and Students Affairs<br>- Students Performance Committee at the department and college levels | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy provides transparent guidelines for the class size and determines the maximum and minimum class size that enables students to engage adequately with the learning experience. It also provides exception criteria for class size limits to ensure degree progress and on-time graduation for students.

### 2. Policy Scope

This policy applies to all classes at DAU Campus and for virtual classes too.

### 3. Policy Statement

It is DAU's commitment to ensure that students have a positive learning experience, so the number of students in each class should not exceed a certain limit. The university complies with the rules of the Ministry of Education in determining class sizes. The class sizes are also decided by the pedagogy used, the limitations of the teaching spaces, and the facilities that are available. The university also recognizes that the class enrollments that are too low are unaffordable for the college and institution, and because of this concern, the policy provides guidelines about what constitutes appropriate minimum class size to guarantee effective use of institutional resources.

### 4. Policy Procedures

#### Class Size Limits

- Maximum Enrollment

Class sizes should not exceed the following maximum enrollment level, measured in counts of students:

- For business, management and Law undergraduate programs, class sizes should not exceed 35 students.
- For medical fields class sizes should not exceed 25 students.
- For applied Architecture and design, class sizes should not exceed 35 students.
- For postgraduate programs, class sizes should not exceed 25 students.

- Exceptions for Maximum Enrollment

Class sizes may vary from these limits in certain circumstances but must be approved by the College Dean and the Dean of Admissions, Registration, and Student Affairs to ensure that curricular programs are delivered in a timely and sequential manner, ensuring students have confidence in completing their degree and program requirements on time.

Classes that meet the following criteria will be considered exceptions to the maximum enrollment requirement:

- Classes where the pedagogy of the subject is not compromised.
- Computer-based classes.
- Tutorials, studios, clinical and technical classes.

- **Minimum Enrollment**

DAU does not specify minimum enrollment level to offer a required course as per a student’s study plan because a postponement of offering such course would impact students on-time graduation. However, departments may need to cancel a class due to one of the following reasons:

- The class is an elective class with less than 5 students registered for the course, and there are other course options that students can select.
- There are other sections in which students can be accommodated.

The university does not specify minimum class size for the following types of courses:

- The course is required in the student’s study plan and must be offered as a prerequisite to another course so that students can follow their study plan and maintain the proper sequencing of courses.
- The course is required for graduation and if the class were canceled it would hinder the student’s normal progress toward graduation.
- Independent study
- Clinical experiences
- Internships & Field Experience

### Class Cancellation

The Department Head is eventually in charge of canceling classes, making sure that the students enrolled in the class are informed immediately by the -Deanship of Registration, Admission, and Students affairs via email/ or text message so they have sufficient time to revise their schedules and select alternative course options.

### 5. Related Policies/ Documents/ Forms

DAU 3-2 Academic Progress Policy  
DAU 3-14 Teaching & Learning Policy

### 6. Document History

| Version | Issue/Rev. Date | Updated Information/ Summary of Changes |
|---------|-----------------|---|
| 1       | 10/2023         | 1 <sup>st</sup> issue of the policy     |

## DAU 3-17 Partnership Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 3-17  | Partnership Policy    |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- University Council</li> <li>- General Directorate of Planning, Development &amp; Quality Assurance</li> <li>- Center of Entrepreneurship, innovation, and knowledge transfer</li> <li>- Legal Affairs Department</li> <li>- Internal Audit Department</li> <li>- Colleges and academic departments</li> <li>- Community Engagement and Industry Linkage Committees at the college and department levels</li> </ul> | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This Policy provides a comprehensive and structured framework for establishing and managing partnerships between DAU and other entities. Also, it ensures that partnership frameworks are aligned with DAU's Mission, Core Values, and Strategic Goals, taking into consideration promoting collaboration between DAU and other entities in an innovative environment which will in turn raise the mutual benefit between DAU and its partners. In addition, it sets broad principles for the establishment, management, and governance of partnerships between the DAU and other academic external parties.

### 2. Policy Scope

This policy is applied to academic partnerships within DAU.

### 3. Policy Statement

DAU recognizes the significance of establishing partnership with diverse organizations on two levels, both locally inside Saudi Arabia and internationally. These partnerships aim to enhance the quality of the University's educational services, research endeavors, and community engagement initiatives. By collaborating with external organizations, DAU can benefit from additional expertise, resources, and new perspectives to strengthen its performance.

### 4. Policy Procedure

#### Identification of Partnership Opportunities

It is imperative for all DAU entities, especially CEI&KT, to actively seek out partnership opportunities aligned with its strategic goals and objectives. This may involve conducting research, attending conferences, networking with potential partners, and engaging with industry, government, or nonprofit organizations.

#### Proposal Development

Once a potential partnership opportunity is identified, DAU's CEI&KT develop a formal proposal outlining the objectives, scope, activities, expected outcomes, resource requirements, and potential benefits of the partnership. The proposal may also address financial arrangements, intellectual property considerations, and legal and ethical considerations.



### Internal Review and Approval

The proposal of partnership will be subjected to internal review process within DAU. This may involve review by various stakeholders, such as the general directorate of scientific research and innovation, the general directorate of planning, development & quality assurance, the community engagement unit, the colleges, the academic departments, the internal audit department, legal affairs department, etc. The review aims to assess the alignment of the proposed partnership with the university's mission, strategic goals, its feasibility, and potential benefits. The approval process may vary depending on the university's organizational structure and governance procedures.

### Negotiation and Agreement

After receiving internal approval, the General Directorate of Planning, Development & Quality Assurance, and the external partner(s) enter a negotiation phase to finalize the terms of the partnership. This includes discussing and agreeing upon key aspects such as objectives, responsibilities, financial arrangements, intellectual property rights, confidentiality, data sharing, and any other relevant terms and conditions. The negotiations may involve legal and administrative personnel from both the university and the partner organization.

### Documentation and Contracting

Once the terms of the partnership are agreed upon, the university council and legal affairs department and the partner organization document the agreement in a formal contract or memorandum of understanding (MOU). This legal document outlines the rights, obligations, and responsibilities of each party and serves as a reference point throughout the partnership.

### Implementation and Management

After the partnership agreement is in place, both DAU and the partner organization work together to implement and manage the partnership activities. This may involve establishing governance structures, assigning project leaders and teams, setting up communication channels, securing resources, and coordinating activities to achieve the agreed-upon objectives.

### Monitoring and Evaluation

DAU's CEI&KT needs to have mechanisms in place to monitor and evaluate the progress and impact of partnerships. This would involve regular reporting, performance metrics, site visits, surveys, and other evaluation methods to assess the effectiveness and outcomes of the partnership. The [Academic Partnership Evaluation Form.docx](#) used to evaluate the partnership.

### Renewal or Termination

Partnerships may have a defined duration or be open-ended. At the end of the agreed-upon period, or as circumstances change, the partnership may be subject to renewal or termination. The university and the partner organization may engage in a review process to determine whether to continue, modify, or conclude the partnership based on its performance and alignment with the changing needs and priorities of both parties.

### 5.Related Policies/ Documents/ Forms

[Academic Partnership Evaluation Form.docx](#)

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-18 Examination Control Policy

| Policy Code  | Policy Name                |                    |  |
|--|----------------------------|--------------------|--|
| DAU 3-18   | Examination Control Policy |                    |  |
| Responsible Executive  | Current Revision Date      | Next Revision Date |  |
| -DAU's Final Examination Committee<br>- Colleges' Examination Committees<br>-Teaching Staff and Administrative Staff | 10/2023                    | 10/2027            |  |

### 1. Policy Purpose

This policy outlines the basic principles, rules and instructions supporting examinations at the university to ensure that the examination process is transparent, fair, trustworthy, convenient, and up to high standards for all parties involved.

### 2. Policy Scope

This policy is applied to all Exams within DAU in all Colleges and academic programs.

### 3. Policy Statement

Examinations play an integral part in assessing the skills and knowledge of the students in a particular subject. DAU conducts different examination types such as written exams, computer-based exams, and online exams. Students should be aware of the associated requirements of those examinations' rules and regulations.

### 4. Policy Procedures

#### General Exam Rules and Code of Practice

- Instructors must be present during their courses' exams, but they cannot serve as proctors for their own courses' exams. Whenever an instructor needs to address an issue with an examination, he/she should address the entire class rather than to a single student privately and leave the exam room immediately afterwards.
- The final exam should cover all course topics, and not simply a portion of the curriculum on the pretext that they are already assessed.
- The instructor should specify what tools the student can use on the exam paper, such as a calculator or additional external paper. Students should not be permitted to use more tools than those authorized by the instructor. In addition, no tools may be borrowed or transferred between students.
- The exam envelopes must be submitted to the college examination committee head one day prior to the exam.
- Proctoring exams is restricted to teaching staff members.
- In any exam, at least two proctors should be present. The number of proctors should be increased by one for every ten students when the number of students exceeds 20.
- There must be at least one male and one female proctor in a shared hall (male and female students). As previously specified, the number of proctors should increase as the number of students increases.
- A standby proctor should be present during every exam period to ensure that a substitute proctor is available in case of a proctor's delay or absence.
- Proctors must arrive in the exam hall 15 minutes before the scheduled exam time.
- All exam texts must be reviewed by department heads to ensure linguistic accuracy and clarity, according to moderation policy.

- Students are not allowed to keep their mobile phones, electronic watches, or other electronic devices, and carrying them is considered cheating.
- It is the responsibility of the final exam supervisor (member of the College Examination Committee) to ensure that no students are present in front of the exam halls during, before, or after the exam.
- A paper-based exam should have at least two test forms. When there are more than 20, an additional test form should be provided for every 10 additional students.
- A list of students who are eligible to take the exam should be placed outside the exam hall entrance. Examinations are not permitted to students who have been denied (DN) from the course according to the SIS system.
- There should be sufficient distance between students in the exam hall, and students should not be allowed to choose where to sit.
- The proctor must always be present inside the exam hall in the appropriate position. Distractions like side conversations with other proctors, reading, using mobile phones, or similar activities should be avoided. The proctor who needs to leave the hall for any reason should contact the examination committee head, who will provide a replacement.
- Except with the permission of the head of the examination committee, students are not allowed to leave the exam hall to use the restroom. Students must remove all documents and electronic devices before going to the restroom. The college examination committee members should accompany students to the restroom and ensure that there are no papers or materials in the restroom that could be used for cheating.
- It is the responsibility of the proctor to ensure that all course materials and documents are removed from the exam hall before the exam begins.
- It is the proctor's responsibility to verify students' identities and make sure their university IDs are present before allowing them to sit for the exam.
- Students are not allowed to leave the exam hall before half of the scheduled time has elapsed. Also, students cannot take an exam if they are more than 30 minutes late.
- The proctor should promptly remove the cheat tool and the exam paper if a student cheats on an exam, he/she should immediately contact the college examination committee head and initiate disciplinary measures without engaging in any dialogue with students.
- Proctors must be familiar with the proper procedure for handling suspected cheating, including filling out the appropriate forms and following instructions carefully under the supervision of the college examination committee head. Following the exam, DAU's examination committee should receive a report, along with all evidence of cheating attempts, such as confiscated notes or mobile devices.
- A regular round of the exam halls should be made by the examination committee head to ensure smooth examination conduct.
- Teaching staff members are encouraged to suggest ways to improve the exam control process and deal with students using new cheating methods.
- It is the proctor's responsibility to submit a report to the head of the college examination committee on the conduct of the exam.

### Computer Based Examination Controls

- The adoption of computer-based exams should be a priority for all colleges to enhance exam control and fairness. It is the instructor's responsibility to develop an appropriate question bank and feed it with new questions over the semesters so that each exam has enough random selection.
- Question banks should be categorized based on learning outcomes, topics (chapters), difficulty levels, question types (MCQ, TFG, short essays, long essays, case studies, etc.) so that the exam measures appropriate learning outcomes and is fair to all students.
- All electronic tools available in computer-based exams must be used to prevent access to outside material or information by students.
- It is the responsibility of proctors of computer-based tests to make sure that each student can access the exam page and nothing else that could allow cheating is accessible.

- For computer-based exams, the head of the examination committee must coordinate with the IT Department to ensure that all devices are working properly, and that internet access and other cheating methods are completely blocked. Throughout the exam period, there should be technical support available in case of technical issues. Male technicians should be available in male sections, and female technicians should be available in female sections.

### Online Examinations Control

- Before a student takes an online examination, the entire process should be explained clearly and explicitly.
- Virtual examination applications approved by DAU as Microsoft Teams are required.
- 15 minutes before the exam begins, the proctor and students must log on to the virtual examination application.
- The student must access the Virtual examination application using his/ her full name and ID.
- It is necessary to use the LMS link to access and submit the online exam.
- Student responsibility includes internet connection, computer speed, batteries, and other technical equipment for online exams.
- Online exams cannot be taken without a specific proctoring program, which students must install and activate on their computers. Online exams cannot be taken online otherwise.
- The examination session may be recorded for proctoring purposes. The video recording will be used to monitor and review the exam session as well as to provide evidence of any misconduct.
- The student should always be within view of the webcam during the exam, and the room lighting should be adequate.
- Students' communication with anyone other than the proctor is not permitted during the online examination.
- The classroom environment should be quiet and calm, and no television, radio, or other audio-visual devices are allowed for use.
- Students must keep their mics unmuted during the entire online exam, and only the host can mute them.

Note: [DAU Examinations Rules and Regulations .pdf](#) clarifies in detail rules and regulations for the examination in DAU.

### 5. Related Policies/Documents/ Forms

DAU 3-7 Grading and Assessment Policy  
DAU 5-8 Student Disciplinary and Academic Integrity Policy  
[DAU Examinations Rules and Regulations .pdf](#)

### 6. Document History

| Version | Date    | Updated Information/ Summary of Changes                |
|---------|---------|--|
| 1       | 2017    | 1 <sup>st</sup> issue of the policy                    |
| 2       | 10/2023 | Modified examination rules and regulations within DAU. |

## DAU 3-19 Exit Exams Policy

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 3-19   | Exit Exams Policy     |                    |  |
| Responsible Executive  | Current Revision Date | Next Revision Date |  |
| -Head of the Departments in Colleges<br>-Deanship of Admission, Registration and Student Affairs<br>- Teaching & Learning Unit | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy was developed to provide guidance on an exit exam and present a set of procedures associated with organizing and conducting a reliable exit exam. The policy also aims to introduce exit exams as a tool to enhance quality delivery of academic programs and services, support student academic success, and ensure that students graduate from DAU with the knowledge and skills they need to be successful in the workforce.

### 2. Policy Scope

This policy applies to all DAU bachelor's degree students in their final year of study.

### 3. Policy Statement

DAU is committed to assessing the effectiveness of its academic programs and ensuring that the academic programs and study plans are in line with national and international standards and that its graduates meet the needs of the labor market. One of the most important tools the University uses to upgrade its outputs and achieve competitiveness both nationally and internationally is exit exams for graduates. Exit exam provides a good and honest measurement of the level of university outcomes and gives feedback, through which weak areas can be discovered and be treated for improvement. DAU develops exit exams to implement its goals and objectives in prompting educational excellence and upgrade the level of its graduates through continuous development of its academic programs.

#### Definition

An exit exam is a test taken by expected graduates in their final year before graduation to assess their attainment of program learning outcomes (knowledge, skills, and values).

#### Objectives of Exit Exams

- Measure the extent to which the targeted students have attained the intended learning outcomes of the programs they have attended.
- Assess the quality of study plans and learning outcomes in academic programs and provide useful information on the overall quality of the educational system.
- Identify shortcomings of the study plans and reconsider defects, if any, to improve the quality and effectiveness of academic program and institutional performance
- Upgrade the level of DAU graduates to achieve the requirements of the labor market.
- Support academic decision-making in the university.

#### General Principles of the Exit exam

- The exit test is required for all students. However, passing the exit exam is not a requirement for graduation and a student's performance in the exit exam does not affect his/her GPA.
- All students who are in their final year of studies are eligible to take an exit exam.
- A targeted student is allowed to take the exit exam more than once.

- The Deanship of Admission, Registration and Student Affairs, in coordination with the colleges, schedules the exit exams, which in any case should not be conducted during the final examination period.
- Following the recommendation of the relevant department council, the college council determines the duration of the exit exams which should not be less than Two hours and not more than Three hours 'duration.
- Exit exams should be designed to measure program learning outcomes and graduate attributes.
- Academic program courses are recommended to have the same relative weight in exit exams as in ETEC Jahzia Exams.
- All exit exams are digital and should be conducted using computers within the university computer labs.
- Standard and computerized examination regulations and codes of conduct will apply to the exit exams.

#### 4. Policy Procedure

DAU applies the following procedures for developing a reliable exit exam:

- Department Heads develop a plan for achieving program learning outcomes for each of the academic programs that they supervise, and their measurement through exit exams and other measures and various assessment tools.
- Department Heads, faculty staff and the Quality Assurance units in colleges prepare the question bank specifications table according to the program learning outcomes and their relative weights.
- Academic departments organize training sessions to prepare students for exit exams.
- Academic departments, in cooperation with Quality Culture Unit, provide several workshops for academic staff aimed at developing their skills in building question banks, linking the exit exam to the program learning outcomes and ensuring the validity and reliability of the exam.
- Department Heads form a committee composed of faculty members to prepare and organize the exit exams for each of the academic programs that they supervise.
- The question banks for exit exam should be comprehensive and classified according to the program learning outcomes, considering their extension in sub-learning outcomes in the curricula, and their relative weights in each course separately.
- Department heads form ad hoc committees to review questions proposed for the exit exam to ensure that all questions meet the required specifications before being added to the exam's test bank.
- Academic departments apply the exit exams, analyze their results, and send the final report to the College Dean, who in turns submit the report to the University President.
- Academic program Quality committees use results of exit exam as a direct assessment tool for measuring and improving of PLOs.
- An official document from the university is given to the student who passes the exit exam successfully with his/her exit exam grade/marks.

#### 5. Related Policies

DAU 3-4 Program Specification Policy  
DAU 3-7 Grading and Assessment Policy  
DAU 3-15 Undergraduate Completion Requirements Policy  
DAU 3-18 Examination Control Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-20 Graduate Attributes and Institutional Learning Outcomes Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 3-20  | Graduate Attributes and Institutional Learning Outcomes Policy |                    |  |
| Responsible Executive   | Current Revision Date  | Next Revision Date |  |
| -Teaching and Learning Unit<br>- Standing Committee of Study Plan and Academic System<br>-Teaching Staff<br>- Academic Program Development Committees at the college and department levels<br>-College Quality Assurance Unit | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy provides guidance for the development, assessment, and review of appropriate graduate attributes and institutional learning outcomes.

### 2. Policy Scope

This policy provides guidance for the development, assessment, and review of appropriate graduate attributes and institutional learning outcomes to ensure that on graduation, students can demonstrate deep knowledge of their discipline, with developed abilities that reflect career readiness to participate successfully in the workforce and as responsible and highly ethical citizens.

### 3. Policy Statement

#### General Principles for Developing Graduate Attributes and Institutional Learning Outcomes

- Graduate attributes and the Institutional Learning outcomes (ILOs) should be consistent with the university's vision, mission, overall strategy, and within the parameters of the National Qualifications Framework.
- The graduate attributes and ILOs are in line with the Saudi Vision 2030, and the labor market requirements, while considering the needs of internal and external stakeholders.
- Stakeholders are involved in the process of developing graduate attributes and learning outcomes at institutional and program level.
- ILOs should be approved by the University Council.
- The graduate attributes and ILOs for the university are reflected in the objectives of all academic programs, evaluation criteria, and relevant course material.
- In the process of developing graduate attributes, criteria should be utilized for assessing students' performance in demonstrating crucial attributes throughout their studies at DAU.
- The Institutional Learning Outcomes for DAU are consistent with DAU's Graduate Attributes.
- ILOs are mapped with the Programs Learning Outcomes (PLOs) and ensure educational quality and curricular coherence.
- ILOs are designed before PLOs.
- The design of study programs considers the consistency between DAU's graduate attributes, the programs' graduate attributes, programs learning outcomes, and teaching methods and evaluation.

### Principles for Assessing and Reviewing Graduate Attributes and Learning Outcomes

- The ILOs are assessed and reviewed at three levels: institutional, program, and course levels.
- The assessment and review process for graduate attributes and ILOs is applicable to undergraduate and postgraduate degree programs.
- The Academic Program Development Committee at the college and academic program levels and the Standing Committee of Study Plan and Academic System at the institutional level are committed to the continuous and periodic review of ILOs and graduate attributes, as well as during periodic review of the university vision, mission, overall strategy, and study programs.
- The ILOs Assessment Process is based on the principles of PIMRU (Plan-Implement-Monitor-Review-Update).
- DAU's graduate attributes assessments are conducted by using a combination of direct (results of exit exams and results of a variety of assignments such as discussion groups, research papers, group projects, oral presentations, case studies, etc. and by using rubrics) and indirect (stakeholder surveys) assessments.
- The college Quality Assurance Units are responsible for the appropriate assessment of the PLOs.
- All programs under the supervision of the College Quality Units will be checked for the congruence between the program and its courses and ensuring the program mapping is well structured.
- The College Deans and Department Heads must ensure that all PLOs are being clearly communicated and disseminated among all students with the help of program guides and verbal counselling by the teaching staff.
- Any modification in the PLOs can only be made after the approval of the program/department Council and the College Council.

#### 4. Related Policies/ Documents/ Forms

DAU 1-1 DAU Vision, Mission, and Values Policy  
DAU 3-4 Program Specification Policy  
DAU 3-13 Program Development and Revision Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change  |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy   |
| 2       | 10/ 2023         | - Modified DAU graduate attributes and ILOs.<br>- Change in the name of the policy by adding "graduate attributes". |



## DAU 3-21 Plagiarism Policy

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 3-21   | Plagiarism Policy     |                    |  |
| Responsible Executive                              | Current Revision Date | Next Revision Date |  |
| -Course coordinators<br>-Faculty members and staff | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

It is the responsibility of all members of the academic community, including students, teachers, and researchers, to ensure the integrity and originality of their work. To prevent plagiarism and academic misconduct, this policy aims to establish an educative and culturally sensitive framework. There is a strong motivation behind this policy to address alleged plagiarism locally and in an educational manner.

### 2. Policy Scope

This policy applies to all students, teaching staff, and researchers at DAU.

### 3. Policy Statement

#### Plagiarism

This Policy defines plagiarism as the practice of using another person's intellectual output and presenting it as one's own without appropriate acknowledgement. The following acts represent examples of plagiarism:

- Word for word copying of sentences/paragraphs in an assignment without acknowledgement.
- Downloading ('ripping') portions of essays or assignments from the web and presenting these for assessment as his/her own work.
- Presenting other students' work or research data as his/her own work.
- Copying without acknowledging the source (from any written or spoken text).
- Paraphrasing putting someone else's ideas in his/her own words can still be plagiarism if he/she doesn't reference appropriately.

#### Practices for Preventing Plagiarism

DAU strongly believes that technical solutions would solve only part of the problem and to prevent plagiarism it needs to develop a culture wherein students understand what plagiarism is and how one could avoid it and where issues of academic integrity and codes of ethics are well emphasized. The following practices have been put in place to avoid plagiarism:

- DAU's colleges use plagiarism detection software (CopyLeaks) to detect plagiarism. By using the software, students and instructors can examine whether their writing contains plagiarized material through a plagiarism detection test that provides real-time feedback regarding plagiarism trouble spots.
- Academic staff and quality assurance units across colleges of DAU should emphasize the imposition of penalties as a deterrent and educate students on recognizing plagiarism.
- A statement/section on plagiarism and academic integrity should be included in all course syllabi and student handbooks and should be available on the DAU's website. Course syllabi should be uploaded to the Learning Management System.
- All assignments should contain a standard cover sheet that informs students about plagiarism, its penalties and that all assignments are subject to plagiarism detection devices. In addition, students must sign an undertaking that their assignments are not plagiarized.
- The University Skills Course shall be one of the University's general mandatory required courses with extensive skills in writing, quoting, referencing as well as information about ethical behavior and academic integrity.

- Specific workshops shall be organized for developing teaching staff skills in dealing with plagiarism in addition to student and faculty induction programs.
- All colleges should ensure that plagiarism and cheating are properly discussed during student and faculty orientation at the start of each semester. As a part of orientation, all students should be taught about proper referencing, and the difference between plagiarism and legitimate quoting.

#### Penalties and remedies face plagiarism

The following is the standard plagiarism penalty that shall be applied across the colleges and regularly modified to be more explicit regarding plagiarism on assignments. Penalties include the following:

- Awarding of zero for the assignment wherein more than 25% of the content is plagiarized.
- Documentation of warning in student record wherein less than 25% of the content is plagiarized.
- Failure in the course to dismissal from the university will be applied if the act of plagiarism is repeated by the student.

#### 4. Policy Procedure

To monitor plagiarism DAU has developed certain procedures that cover the role of all key players in monitoring and handling the issue of plagiarism and ensure that implementation is an ongoing process. These procedures are outlined below:

- The faculty members should discuss all plagiarized assignments with the course coordinator at the faculty member's discretion and a collective academic judgment is important in assessing assignment.
- Course coordinators should monitor faculties' feedback on assignments rigorously and ensure that no instance of plagiarism which can be detected by a faculty is overlooked.
- The Head of each department is required to monitor the contribution of Course coordinators to combat plagiarism and cheating and give appropriate feedback and provide the necessary support.
- The faculty member and the course coordinator have the authority to decide on the specified penalties as per the university bylaws.
- On detection of plagiarized content, the respective faculty must mark the assignment as plagiarized by attaching the duly filled plagiarism form. This is to protect the faculty from any arbitrary dispute arising thereof on part of the student.
- All University programs are required to apply penalties that are consistent with the university bylaws. The following is the standard plagiarism penalty that shall be applied across the colleges and regularly modified to be more explicit regarding plagiarism on assignments. Penalties include the following:
  - In case the faculty member's discretion in consultation with the course coordinator results in equal or less than 25% of the assignment being plagiarized then documentation of warning in student record, and student should resubmit the assignment with 0% plagiarism.
  - In case the faculty member's discretion in consultation with the course coordinator results in more than 25% of the assignment being plagiarized then the faculty member is authorized to award 0.
  - If the act of plagiarism with more than 25% is repeated by the student, failure in the course to dismissal from the university will be applied.
- Students may appeal a penalty by following the steps outlined in the DAU's Student Appeal Policy.
- Issues relating to plagiarism by an individual student or students are confidential matters and should be treated as such. Records should be kept with due concern for confidentiality and the need for evidence.

#### 5. Related Policies/ Documents/ Forms

DAU 5-8 Student Disciplinary and Academic Integrity Policy  
DAU 5-11 Student Rights and Responsibilities Policy  
DAU 10-4 DAU's Research Ethics

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes         |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy             |
| 2       | 10/2023          | Comprehensive modification in Plagiarism Policy |

## DAU 3-22 Research Project Policy

| Policy Code  | Policy Name             |                    |  |
|--|-------------------------|--------------------|--|
| DAU 3-22   | Research Project Policy |                    |  |
| Responsible Executive  | Current Revision Date   | Next Revision Date |  |
| -Standing Committee for Postgraduate Studies<br>-Scientific Council<br>-General Directorate of Scientific Research and Innovation<br>- Research Support Unit<br>-Scientific Research & Innovation Committee at the college and department levels | 10/2023                 | 10/2027            |  |

### 1. Policy Purpose

This policy sets the general principles which govern the conduct of a research project undertaken by a postgraduate student at DAU and determines the process and the criteria for monitoring and evaluating a research project to ensure that academic standards, integrity, fairness are in place. The policy also defines clear responsibilities of the students and academic supervisors who are engaged in a research project.

### 2. Policy Scope

This policy is applied to all research projects conducted by a postgraduate student as a requirement of completion of his/her master's degree at DAU. This policy is applied to all postgraduate students at DAU and all DAU's academic staff who are responsible for supervising and examining research projects.

### 3. Policy Statement

A research project is an in-depth study of an issue or topic relevant to the field in which a student is studying. It may be in the form of a small-scale research study, a detailed report, or a case study. Any research project associated with DAU's must have high academic standards and should be in accordance with the rules and requirements of the Ministry of Education. University arrangements should be in place to embed principles, procedures, and guidelines that regulate research projects and support students and staff in adhering to them.

#### General Principles of Research Projects

- All teaching staff and students who are engaged in a research project are responsible for their own awareness and compliance with this policy.
- A research project course should be equivalent to a minimum of 3 Credit hours as specified in the program specification.
- The duration for a research project course is set out in the course syllabus and specification; this includes the requirements to ensure that projects are achievable within the relevant expected course duration.
- All research projects conducted under DAU's auspices should comply with the relevant ethical procedures set out by DAU's Research Ethics Policy.
- Students are permitted to register for the course only when all the prerequisites for this course have been met as specified in their study plan.
- Research projects should be planned and conducted so that students under faculty supervision are involved as much as possible in the process.
- Students and teaching staff should be provided with a research project handbook that lists all information regarding research projects, including rules, regulations, structure and components, supervision log, evaluation rubric, and requirements for final submission.

- All research project assessment components should comply with DAU's assessment policy.
- A supervisor should not be appointed or continue to supervise a student if there is a reasonable possibility that doing so would result in a real or perceived conflict of interest that would in any way impact that student's progress. A supervisor cannot be a relative or have a personal relationship with the student.
- Both the supervisor and the examiner/s should have theoretical and methodological expertise relevant to the student's research project.
- According to DAU's Student Appeal Policy, students may submit a complaint or grievance in relation to the application of this policy.

### The role of the Research Supervisor

- Provide guidance to the supervised student in preparing a project proposal and outline.
- Support the student's research project by meeting with him/her at least once a week.
- Research topics must be relevant to the course, have a reasonable timeframe, be appropriately resourced, and comply with all relevant policies and processes.
- Mentor the student on research-related matters.
- Notify the student and the Scientific Council if a student is not making satisfactory progress and/or needs additional support.
- A student's work should be assessed continuously throughout the period of supervision, including advice on presentation and style.
- Provide summative and formative feedback to students.

### Student Responsibilities

- To be familiar with all the rules, policies, and regulations that govern a research project.
- Attend regular meetings with his/her supervisor.
- Submit a project proposal including an abstract, literature review, gap identification, objectives, and research methodology as early as possible.
- Submit the final report by the deadline.
- Submit the final project report in accordance with the program requirements specified in the course syllabus and research project handbook.
- Submit sections of the report as the student progresses with the research project, so that the supervisor can monitor progress and ensure writing is proceeding smoothly.
- Be aware of the DAU's policy regarding student conduct and academic misconduct.
- Present the research project orally and defend it verbally.
- Submit the research project report through the LMS, which will be subject to plagiarism checks.

## 4. Policy Procedure

### Monitoring Procedures of Research Projects

- Research projects at DAU are monitored and reviewed through regular supervisory meetings and periodic progress reports.
- Student should submit a monthly progress report to his/her supervisor.
- Student should submit a project action plan at the beginning of the semester so that his/her progress can be assessed against the project's action plan.
- The supervisor should develop a project supervision log to outline the dates of supervisory meetings to follow-up the progress of the student's project.
- The Scientific Research & Innovation Committee and the Quality Assurance Unit should retain copies of students' project action plans and regularly audit supervision logs to ensure projects' follow-up is in order and on time.
- The Quality Assurance Unit should produce a monthly audit report and submit it to the Standing Committee of Postgraduate Studies.

## Research project evaluation procedures and panel formation

- The Scientific Council forms an examination panel for evaluating the student's final report.
- The examination panel should include at least three members, including the project supervisor and members of the program faculty. College Council Chairman nominates faculty members based on their previous experience as supervisors or examiners at the master's level and good academic standing.
- One month before the exam date, the panel should be formed.
- Three weeks before the exam date, the panel members should receive the student's submission.
- Research project students must present their research findings for examination at a time determined by the Director of the program after consulting with the examination panel.
- The panel members should independently evaluate the final report using the grading rubric, which is outlined in the research project handbook.
- The student demonstrates a professional level of familiarity with, and critical appraisal of the relevant literature as follows:
  - The subject is adequately explored.
  - The research techniques and methods are appropriate, justified, and applied.
  - The results are adequately outlined and interpreted.
  - The conclusions and implications are developed appropriately and clearly according to the nature and content of the research framework.
  - The research questions are examined and investigated in accordance with academic standards.
  - High-quality presentation of the project.
- The panel members shall share their scorings, discuss their views, and arrive at a grading consensus that is outlined and signed by the panel members in the project final exam report.
- Research project examiners must award a numeric mark in accordance with the grading scale specified in the course syllabus and research project handbook. The examiner may ask a student to:
  - Revise or explain any section of the final report.
  - Respond to inquiries about the undertaking in writing.
  - If the work doesn't meet the examination criteria, re-present it or re-document it.
- Two valid examiners' reports must be received before the result can be confirmed.
- An external examiner reviews and moderates all assessments for a research project course. If the external examiner raises any concerns, the program research committee will be responsible for handling them.
- The program research committee should produce a final report on the fairness, objectivity, and credibility of the graduation project evaluations, then submit it to the Graduate Council Chairman, who escalates it to the postgraduate council for approval, which submits it to the College's Council afterwards

## Student Appeal and Grievance

In accordance with DAU 5-9 Student Complaints/Appeals policy, students may submit complaints or grievances about the results of the research project evaluation.

## 5. Related Policies/ Documents/ Forms

DAU 3-2 Academic Progress Policy  
 DAU 3-4 Program Specification Policy  
 DAU 3-7 Grading and Assessment Policy  
 DAU 5-1 Postgraduate Admission Policy  
 DAU 5-9 Student Complaints/Appeals policy  
 DAU 10-3 DAU's Research Ethics

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-23 Peer Observation Policy

| Policy Code                             | Policy Name             |                    |  |
|---|-------------------------|--------------------|--|
| DAU 3-23                                | Peer Observation Policy |                    |  |
| Responsible Executive                   | Current Revision Date   | Next Revision Date |  |
| Heads of departments and Teaching Staff | 10/ 2023                | 10/ 2027           |  |

### 1. Policy Purpose

This policy governs the practice of peer observation among faculties at DAU. By ensuring a systematic, fair, and constructive peer observation process, the policy promotes professional development and enhances teaching effectiveness. It provides faculties with an opportunity to:

- Verify submitted course materials on the LMS.
- Get feedback from their colleagues on the teaching strategies and assessment methods they have adopted.
- Assess student behaviors and how instructor handles them in class/lab.
- Identify improvement opportunities.

### 2. Policy Scope

The Peer Observation Policy applies to all teaching staff, full-time and part-time. It applies to classroom-based instruction, online or distance learning, laboratory sessions, clinical settings, and other teaching contexts at DAU.

### 3. Policy Statement

The policy outlines the procedures for initiating peer observations, selecting observers, scheduling, conducting peer observations, documenting peer observations, and developing an action plan for continual improvement. A peer observation should be conducted according to the following guidelines:

- Faculty should undergo peer observation every two years for each course.
- First semester peer observation is required for all newly appointed faculties.
- Part-time faculty must undergo peer observation when renewing teaching assignments.

### 4. Policy Procedures

#### Scheduling

- Head of the department develops a list of faculties to be peer observed at the beginning of each semester and selects suitable observers.
- In consultation with both the observed and observing faculties, head of the department should develop peer observation schedules.

#### Pre-Observation Meeting

- Meeting ahead of the observation is required between the observer and the observed.
- Any relevant background information and materials about the course or lesson being observed should be provided to the observer by the observed faculty member.

#### Observation

- Students in class should be informed of the purpose of peer observation and that they are not being evaluated.
- The observer should observe the teaching session and take notes on the following aspects of the teaching:

- The submitted course materials on the LMS.
- The effectiveness of the instructor's teaching strategies and assessment methods.
- The use of instructional materials and technology.
- The clarity of the instructor's explanations.
- The instructor's interaction and student engagement.

### Post-Observation Meeting

- After the observation, the observed and observer should meet to discuss the observation.
- The observer should provide the observed faculty member with feedback on the teaching strategies and assessment methods he/she has adopted.
- The observed and observer should discuss any areas for improvement and identify any resources or support that may be helpful.

### Documentation

- The observer should write a summary of the observation process and provide the feedback using [DAU Peer Observation Form](#).
- The summary should be shared with the observed faculty member and head of the department.
- Upon reviewing the peer observation report, head of the department will determine what action plans need to be developed for the observed faculty member.

### Confidentiality

All information obtained during the peer observation process should be treated confidentially.

### Professionalism

Faculties involved in peer observation are expected to conduct themselves professionally and respectfully.

### 5. Related Policies/ Documents/ Forms

DAU 3-14 Teaching & Learning Policy

DAU 4-2 Faculty member and Administrative Staff Professional Development Policy

[DAU Peer Observation Form](#).

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 3-24 Examination Technical Requirements Policy

| Policy Code   | Policy Name                               |                    |  |
|---|---|--------------------|--|
| DAU 3-24  | Examination Technical Requirements Policy |                    |  |
| Responsible Executive   | Current Revision Date                     | Next Revision Date |  |
| - Faculty Members<br>- DAU's Final Exam Committee<br>- Colleges Exam Committees | 10/2023                                   | 10/2027            |  |

### 1. Policy Purpose

This policy ensures that DAU Exams are consistent and measuring the expected learning outcomes and the students' skills.

### 2. Policy Scope

This policy is applied to online and face-to-face Exams in DAU's colleges and academic programs.

### 3. Policy Statement

Students at DAU colleges and programs are evaluated by different Direct Assessment Methods: Written Exams, Written Assignments, Presentations, and Practical Assignments/Projects.

### 4. Policy Procedure

#### Assessment Principles

For all assessment processes, DAU's staff shall carefully watch that the assessment strictly abides to the following principles:

- *The assessment is fair*, in that students are entitled to parity of treatment and comparable assessment demands in models of equal level and credit.
- *The assessment is reliable*, in that the assessment criteria would support independent markers to reach the same judgment on a piece of work.
- *The assessment is valid*, in that the assessment relates to the intended learning outcomes of the course/program studied.
- *The assessment is transparent*, in that the criteria and methods by which students' work is being judged is clear to students, staff and examiners.
- *The assessment recognizes and respects equality and diversity*.

#### Faculty member shall ensure the following when preparing the Assessment

- Determine the general purpose of the assessment.
- Determine the targeted learning outcomes to be measured.
- Determine the content analysis (concepts, terminology, facts ... etc.).
- Determine the time to answer each question.
- Ensure compliance with essay formulation rules and prepare descriptor scales for essay questions.
- Ensure compliance with the implementation of the rules for building objective questions.
- Complying with other Examination instructions set by DAU in (DAU 3-18 Examination Control Policy).



## Final Examination Questions and Evaluation Procedures

### A. Exam Questions Design

- Ensuring that the evaluation methods are consistent with the teaching strategies and the Course Learning Outcomes (CLOs).
- Ensuring that the time allocated for the evaluation process is consistent with the level of the course and the number of accredited hours.
- Each question should be accompanied by the difficulty level (Easy, Medium, Hard), related CLOs, and mark distribution.
- When possible, include the following in exam design:
  - *For Undergraduate students:* Multiple Choice questions (MCQs), true and False Questions shall not exceed 30% as true and false not exceed 10% and 20% MCQs. The other 70% of the exam will be Case studies, Short and Long Essays.
  - *For Postgraduate students:* 100% of the exam questions shall be Essays questions.
  - When formulating Multiple Choice Questions, faculty members shall take in consideration the following:
    - Ensuring that the questions measure higher levels of thinking.
    - The sentence is not transferred as in the book, but rather it is paraphrased.
    - Not giving any sign to help the student identify the correct answer.
    - Ensuring that the question only has one correct answer.
    - Ensuring that the alternatives are logical, reasonable, and relevant to the question.
  - When formulating Essays Questions, faculty members shall take in consideration the following:
    - Time needed to answer the questions.
    - The score assigned to each question is proportional to its importance, as mentioned in the specification table.
    - The questions measure higher-order thinking skills such as analysis and evaluation in addition to cognitive skills.

### B. The Examination Papers Requirements

Ensure that the test paper conforms to the following items for its review, which includes the following:

- All information must be clear (the name and logo of the university - the name of the college and department the time of the examination - the name and code of the course - the date of the test - the name of the course coordinator - the name and number of the student).
- The number of questions listed in the test instructions, as well as the number of questions in the multiple-choice answer books, must be complete and sequential with the actual number of questions on the answer sheet.
- Numbering questions and test pages.
- Ease of reading with no grammatical or spelling mistakes.
- Exam instructions are clear to the student, and they are consistent with each other.
- No repeated questions in the same exam.
- Shapes and graphs shall be legible and the numbers and words inside them are clear.

### C. Exams Evaluation and Grading

- Ensure that there are clear criteria for correction such as checklists - grading ramps - raster matrices for descriptors.
- Review the analysis of the psychometric properties of the test words to ensure their validity and reliability.
- Review the evaluation plan annually to ensure that the intended learning outcomes of the course suit the student. This is documented in the course file and its report.
- Granting the grade to students depends on their achievement of learning outcomes. Clear verbal performance evaluation scales are prepared for each grade, which explain to the student and faculty member the reasons for giving the grade based on the evidence.

- Explain to students the criteria or levels required for each grade, how to use the grading criteria, and the feasibility of achieving it.
- Ensuring the safety and efficiency of the evaluation process used, and using appropriate, honest, and reliable mechanisms to verify the levels (standards) of student achievement compared to the relevant reference points, whether at the internal or external level.

#### D. Securing Exam papers and ensuring confidentiality.

- All faculties in the college / academic department, and those involved in exam preparation, monitoring and correction are responsible for ensuring the security of question papers and students' answer books to ensure the confidentiality of the exams.
- Exam papers, which include questions and answer books, are always secured.
- Exam papers are printed and copied with the number of students who will take the Exam.

#### E. Computer-based Testing (CBTs) Assessment

- All faculties shall take part, cooperate, and jointly be accountable in the development of courses' test-banks.
- Faculties shall consult the course specifications to identify the topics covered within each chapter of the course. Accordingly, they shall develop a matrix that cross references each topic's learning outcomes (TLOs) to the relevant course(s) learning outcome (CLOs).
- Course coordinators are responsible for developing test banks on time and according to the required standards.
- The Heads of Departments shall, in coordination with course coordinators, nominate faculties for the reviewing of courses' test-banks.
- Every semester and for each TLO, faculty shall develop new 6 MC questions, 6 TF questions, 6 short answer questions, 6 short essay questions, and 6 extended essay questions so that each exam has enough random selection. For each of those questions listed categories 2 shall be easy, 2 shall be medium-difficulty, and 2 shall be difficult.
- An estimate of the time-length required for students to complete various question types is outlined in the following table.

| Type of question                                | Time required estimate       |
|---|------------------------------|
| True/False (TF) questions                       | 15 - 30 seconds per question |
| Multiple Choice (MC) questions that are brief   | 30 - 60 seconds              |
| More complex Multiple Choice (MC) questions     | 50 - 90 seconds              |
| Multiple Choice (MC) problems with calculations | 2 - 5 minutes                |
| Short Answer (one word)                         | 30 - 60 seconds              |
| Short Answer (longer than one word)             | 1 - 4 minutes                |
| Short Essays                                    | 15 - 20 minutes              |
| Data Analysis/Graphing                          | 15 - 25 minutes              |
| Extended Essays/Case Studies                    | 35 - 50 minutes              |

- The proportion of exam items classified by level of difficulty is provided in the following table:

| Level of Difficulty            | Easy | Moderate | Difficult |
|--------------------------------|------|----------|-----------|
| Percentage of Total Exam Items | 30%  | 50%      | 20%       |

#### 5. Related Policies/ Documents/ Forms

DAU 3-18 Examination Control Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |

## DAU 3-25 Grade Distribution Policy

| Policy Code  | Policy Name               |                    |  |
|--|---------------------------|--------------------|--|
| DAU 3-25   | Grade Distribution Policy |                    |  |
| Responsible Executive  | Current Revision Date     | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- Faculty Members</li> <li>- The General Directorate of Planning, Development and Quality Assurance</li> <li>- DAU's Teaching &amp; Learning Unit</li> <li>- Deans and Vice-Deans</li> <li>- The Students Performance Committee at the colleges' level</li> <li>- The Educational Process Quality &amp; Program Accreditation Committee at the programs' level</li> </ul> | 12/2023                   | 12/2027            |  |

### 1. Policy Purpose

This policy ensures that assessment methods used in evaluating student performance are objective and fair.

### 2. Policy Scope

This policy applies to all courses in all DAU programs.

### 3. Policy Statement

DAU strives to ensure the academic success of its students and a fair and accurate assessment of their progress by preventing grade inflation or deflation.

### 4. Policy Procedure

#### Definitions

- Grade inflation is the awarding of higher grades than students deserve, which yields a higher average grade given to students.
- Grade Deflation is the awarding of lower grades than students deserve, which yields a lower average grade given to students.

#### General Principles

- All programs must review the assessment methods used in the courses specifications and ensure that they are consistent with the intended learning outcomes at the level.
- Assessment methods in the course vary according to its nature and level, enhance the ability to conduct research, and ensure students' acquisition of higher cognitive thinking and self-learning skills.
- The program must ensure the uniform application of the assessment methods mentioned in the course specification in the male and female sections through coordination with the course coordinator.
- At the beginning of each course, students are provided with comprehensive information about the course, including learning outcomes, teaching, and learning strategies, and assessment methods and dates, as well as what is expected from them during the study of the course.
- The program should implement clear and publicized procedures to verify the quality and validity of the assessment methods (e.g., their specifications, diversity, and comprehensiveness to cover the learning outcomes, distribution of grades and accuracy of marking), and to ensure the level of student achievement.

- The program should use effective procedures are used to verify that the work and assignments of students are of their own.
- The distribution of students' grades should be consistent with the normal distribution curve. This harmony indicates the accuracy and fairness of correction and evaluation, and thus determines the true levels of students' performance, considering the individual differences between them.
- The feedback is provided to students about their performance and evaluation results at a time that allows them to improve their performance.

#### Criteria for Grade Inflation

- If there are more than 10 students registered in a bachelor's course section and the percentage of students earning a (A) and (A+) is more than 25%; or if there are more than 10 students registered in a master's course section and the percentage of students earning a (A) and (A+) is more than 35%.
- If there are between 5 to 10 students registered in a section and the percentage of students earning a grade of (A) and (A+) is more than 50%.
- Sections with less than 5 students registered are not considered.

#### Criteria for Grade Deflation

- If there are more than 10 students registered in in a bachelor's course section and the percentage of students earning a grade of (F), (D), and (D+) is more than 35%; or if there are more than 10 students registered in a master's course section and the percentage of students earning a (F), (D), (D+), and (C) is more than 15%.
- If there are between 5 to 10 students registered in a bachelor's course section and the percentage of students earning a grade (F), (D), and (D+) is more than 50%; or if there are between 5 to 10 students registered in a master's course section and the percentage of students earning a grade of (F), (D), (D+), and (C) is more than 25%.
- Sections with less than 5 students registered are not considered.

#### Responsibilities of controlling inflation and deflation of grades

- The head of the department will monitor the grade inflation in every course offered in an academic semester and take necessary actions if irregularities are found.
- The College Dean / Vice-Dean will monitor the grade inflation at a program level in a college and take necessary actions if irregularities are found.
- The General Director of Planning, Development and Quality Assurance monitors grade inflation at the institutional level and takes the necessary actions if violations are found.

#### Procedures of controlling inflation and deflation of grades

- The program should implement the approved Moderation Policy.
- The program should implement procedures of verifying the credibility of students' answers and monitor grades.
- The head of the department should follow up the results of the students in the semester work (which is equivalent to about 60% of the total grade) in all courses to ensure the state of inflation or deflation before the students take the final exam. In case of inflation or deflation, the department head and course instructor must develop corrective procedures to ensure a fair distribution of final grades.
- After correcting the final exam, the course instructor should fill out the course report accurately. In case of inflation or deflation in grades, he should add the appropriate justifications in (Item C. Students' results in the course report).
- The Educational Process Quality & Program Accreditation Committee at the academic program level reviews the course reports, checks the distribution of students' grades (Course Report Form Item C. Student Results), and prepares a report on courses that contain inflation or deflation in grades with justifications set by the course instructor.

- The head of the department reviews the report of the Quality Committee at the academic program level and examines the reasons and justifications for inflation or deflation in students' grades with the course instructor, along with identifying recommendations for improvement, and mentions this in the program annual report (D. Summary of Course Reports).
- The head of the department submits a comprehensive report to the college Dean/Vice Dean of the college about the courses that include inflation or deflation in the students' grades, including the reasons, justifications, and the improvement plan that he discussed with the course's instructors.
- Grade inflation and deflation reports are to be reviewed at the college level by the Students Performance Committee, and then the college Dean/Vice Dean submits a comprehensive report to the General Directorate of Planning, Development and Quality Assurance for all courses in the academic programs in the college, which include inflation or deflation in students' grades, including reasons, justifications, and an improvement plan.
- The Institutional Research and Statistics prepares a comprehensive report for all university courses, distributes grades in those courses, and matches them with reports received from faculties to ensure accurate decision-making and recommendations for improvement for all courses at Dar Al Uloom University. The report is submitted to the General Directorate of Planning, Development and Quality Assurance.
- General Directorate of Planning, Development and Quality Assurance reviews the reports received from the colleges and the Institutional Research Unit and takes appropriate procedures in the case of recurring cases of inflation or deflation in students' grades at the level of a particular course, academic program, or college.
- General Directorate of Planning, Development and Quality Assurance submits periodic reports to the University Council on the compliance of colleges and academic programs with Grade Distribution Policy.

#### 5. Related Policies/ Documents/ Forms

DAU 3-1 Moderation of Assessment Policy  
DAU 3-21 Plagiarism Policy  
DAU 3-23 Peer Observation Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 12/2023          | 1 <sup>st</sup> issue of the policy    |



# DAU 4.0 Faculty and Professional Staff Policies

## DAU 4-1 Faculty Members Workload Policy

| Policy Code           | Policy Name                     |                    |  |
|-----------------------|---------------------------------|--------------------|--|
| DAU 4-1               | Faculty Members Workload Policy |                    |  |
| Responsible Executive | Current Revision Date           | Next Revision Date |  |
| HR Directorate        | 10/2023                         | 10/2027            |  |

### 1. Policy Purpose

This policy governs the rules, regulations and procedures followed in determining full-time faculty members' workloads and working hours.

### 2. Policy Scope

This policy is applied to all the Academic Staff at DAU.

### 3. Policy Statement

- The assignment of faculty members workloads is intended to be used, as a comprehensive guideline for academic departments when assigning workloads to individual faculties and it is defined as the total of the instructional, scholarly, and professional service activities rendered to DAU by its faculty members. It encompasses instruction, advising, committee work, co-op advising and thesis supervision, guidance of student organizations, research, service, and curriculum development.
- The workload is calculated based on Credit hour → 1 Credit Hour = 1 hour X number of weeks in semester (See Credit Hour Policy).
- The assignment of workloads is therefore organized on the following principles:
- The maximum teaching load for full-time faculty members is 21 credit hours per semester for undergraduate programs (or 42 credit hours or equivalent per academic year over the period of the First and Second semester combined), which can be increased 24 credit hours per semester in case he/she has enough time and absence of alternatives.
- The teaching load of part-time faculties is limited to 6 credit hours, which can be increased up to 9 credit hours per semester, in case he/she has enough time and absence of alternatives. However, it requires University President approval.
- The release time from teaching for the deans of colleges is 6 credit hours.
- Whenever it is necessary, the President of university is authorized to exempt a dean from teaching all their load if they have extraordinary administrative assignments.
- The release time from teaching for the vice-deans/directors/Deputies, and heads of departments is 3 credit hours.
- Whenever it is necessary, the President of university is authorized to exempt the vice-deans/directors/deputies, and heads of departments from teaching all or part of their load if they have extraordinary administrative assignments.
- The normal full-time working hours of DAU faculties are 40 hours per week maximum. The working days are Five days per week.
- The teaching load of each faculty member can be distributed between undergraduate departments and postgraduate programs (once introduced at DAU).

- Full-time faculty members are required to teach according to the following teaching load as per university policy:

|  |                 |
|--|-----------------|
| Instructor/Teaching Assistant,<br>Language Teacher, Lecturer | 18 credit hours |
| Assistant Professor  | 16 credit hours |
| Associate Professor  | 14 credit hours |
| Full Professor   | 14 credit hours |

- A faculty member who does not meet his/her teaching workload, the university has the right to assign him/her other relevant tasks including teaching in other departments.
- Academic non-teaching assignment to a faculty member such as course/curriculum development/review, accreditation, course file, institutional, college and department committees, etc., could be considered as part of the workload.
- A faculty member teaching more than normal workload hours during the semester is entitled for overload compensation as overtime. A faculty member's overload should not exceed 6 credits/ per semester, and faculty member shall be appropriately compensated for that. The University Vice-President pre-approval is required at the beginning of each semester.
- University Vice-President and University employees must attend 8 hours/day. They are not required to teach. They can only teach if there is a pressing need for their teaching services which is to be approved by the President of the University. In that case, they will be compensated for each credit hour as overload compensation.
- Deans/Department Heads must attend 8 hours/day if not teaching.
- The Dean who is teaching more than "normal workload Minus 6 hours" during the semester is entitled for overload compensation.
- The vice-deans/directors/Deputies, and heads of departments who are teaching more than "normal workload Minus 3 hours" during the semester are entitled for overload compensation.
- A faculty member originally hired as a director or manager to a non-teaching position must attend 8 hours per day. If He/ She are assigned to teach, they will be compensated as overload compensation.
- A faculty member temporarily assigned to Deanship/Academic Department /Directorate/Office/Center/ Clinic or Consultancy Center must attend 8 hours per day. He/ She will get the release time of 6 credit hours from teaching per semester for the deans of colleges, and the release time of 3 credit hours from teaching per semester for the vice-deans/deputies/Academic Department /Directorate/Office/Center/Clinic or Consultancy Center. In case He/ She is assigned to teach more than required credit hours per semester ("normal workload Minus 6 hours" for deans of colleges and "normal workload Minus 3 hours" for vice-deans/deputies/Academic Department /Directorate/Office/Center/ Clinic or Consultancy Center), He/ She will be compensated for each credit hour based on the faculty overload compensation scale.
- A faculty member who is seconded or transferred to non-academic and non-teaching Department/Directorate/Office/Clinic or Consultancy Center, must attend 8 hours per day. He/ She is exempt from teaching and might be assigned to committees if needed. In case they are assigned to teach, they will be compensated as overload compensation.
- The table below shows the total working hours of full-time faculty members as per rank distributed among different activities.



| Academic Rank  | Teaching Load | Office Hours | Preparation & Grading hours | Advising & committees | Research | Total |
|--|---------------|--------------|-----------------------------|-----------------------|----------|-------|
| Instructor<br>Teaching Assistant<br>Language Teacher<br>Lecturer | 18            | 8            | 8                           | 6                     | 0        | 40    |
| Assistant Professor  | 16            | 8            | 6                           | 4                     | 6        | 40    |
| Associate Professor  | 14            | 8            | 6                           | 4                     | 8        | 40    |
| Full Professor   | 14            | 8            | 6                           | 4                     | 8        | 40    |

- Full-time teaching staff must complete the total full-time working hours as stipulated in Table above. Faculties have the right to spend preparation, grading and research-related working hours off campus at the discretion of the faculty and the Department Head and College Dean. The respective Department Head and College Dean have the right to withdraw the discretion as need arises.
- The stipulated working hours per day vary as per each faculty schedule but the total hours on campus per week must be completed as indicated in the table above.
- Upon the recommendation of the Department Head and the preliminary approval of the Dean of the concerned college and the approval of the University Vice-President, a faculty's teaching load can be reduced based on one or more of the following factors:
  - Class size and other related classroom issues.
  - Nature of the course.
  - Level of advising or contact with students.
  - Involvement in approved projects.
- Failure to comply with the required hours of attendance will subject faculty members to administrative action as per DAU policies, "Faculty Disciplinary Policy" and "Contract Termination Policy".
- Faculty members from outside DAU who teach at the university are entitled to compensation as part-time. The University Vice-President pre-approval is required at the beginning of each semester.
- The Department Head is responsible for assigning and monitoring the workload of faculty members within her/his department to ensure individual compliance with the workload requirement.
- The Department Head makes sure that other academic duties are assigned equitably within the department.
- The Department Head must report all faculty members workloads/ under loads to the Dean of the concerned College and for approval by the University Vice-President, who must report these workloads to the Human Resources Directorate.
- The Department Head will notify the Dean of the concerned College in writing of all faculty members who are not in compliance with the workload requirement, the reason, justification, and steps being taken to bring faculty members into compliance. The Dean of the concerned College will submit it to the University Vice-President for approval. The approved copy should be sent to the Human Resources Directorate.

#### 4. Policy Procedure

| S. No.                                      | Procedure Steps  | Responsibility            |
|---|--|---------------------------|
| <b>Workloads development and monitoring</b> |  |                           |
| 1   | -Assigns and monitors faculty members workloads and reports to the Dean of the concerned College and the University Vice-President.<br>-Provides HR with faculty attendance/absence reports monthly. | Department Head           |
| 2   | Reports workloads/underloads to the HR Directorate.  | University Vice-President |
| 3   | Notifies the Dean of the College concerned in writing of all faculties not in compliance with the workload requirement, the reason,  | Department Head           |

|   | justification, and steps being taken to bring faculty members into compliance.  |   |
|---|---|---|
| 4   | Submits notice to the University Vice-President for approval.   | Dean of concerned College                         |
| 5   | Sends approved copy to the HR Directorate.  | University Vice-President                         |
| <b>Overloads and part-times preparing and payment</b>   |   |   |
| 1   | Prepares the initial list of the full-time faculties who have overloaded courses and the initial list of part-timers.   | Department Head                                   |
| 2   | -Approves the college's overload list and part-timers list<br>-Sending the lists to University Vice-President for approval.   | Dean of concerned College                         |
| 3   | -Completes the submission of the overload assignment form along with instructors' timetables no later than the last week of the semester.<br>-Completes the submission of the part-time assignment form along with instructors' timetables after completing all tasks (grade submission, course file, etc.).                          | Department Head                                   |
| 4   | Approves the college's real overload hours and part-time hours and sends the lists to HR Directorate.   | Dean of concerned College                         |
| 5   | -Prepares the overload and part-time master sheets of the overload and part-time payment after validating and verifying all the relevant documents to ensure the accuracy of overload and part-time payment details.<br>-Sending the overload and part-time payment to the university internal audit Unit, to review and investigate. | Human Resource Directorate<br>Internal audit Unit |
| 6   | Issues a payment request of the approved overload and part-time payment to the Finance Directorate.   | Human Resource Directorate                        |
| <b>5. Related Policies/Documents/Forms</b>  |   |   |
| DAU 3-9 Credit Hour Policy<br>DAU 4-2 Faculty members and Administrative Staff Professional Development Policy<br>DAU 4-6 Contract Termination Policy<br>DAU 4-10 Faculty member and Professional Staff Role Policy<br>DAU 4-11 Faculty members and Staff Disciplinary Policy |   |   |
| <b>6. Document History</b>  |   |   |
| Version   | Issue/ Rev. Date  | Updated Information/ Summary of Changes           |
| 1   | 10/2023   | 1 <sup>st</sup> issue of the Policy               |

## DAU 4-2 Faculty members and Administrative Staff Professional Development Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 4-2   | Faculty members and Administrative Staff Professional Development Policy |                    |  |
| Responsible Executive   | Current Revision Date  | Next Revision Date |  |
| -HR Directorate<br>-Teaching Staff Committee (TSC)<br>- Training and Proficiency Development Center | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy governs the rules, regulations and procedures followed in providing opportunities for faculty members and administrative staff to undertake relevant professional development consistent with the mission and supportive of the strategy attributes of DAU. The development frameworks must support DAU success and improvement.

### 2. Policy Scope

This policy is applied to all the faculty members and the administrative staff.

### 3. Policy Statement

#### Faculty Members Development

For enhancing and developing the Faculty Members skills and experience; the following responsible personnel in DAU will have the following roles and responsibilities:

- *Heads of Departments:* The departments heads are responsible for identifying the faculty members' professional training and development needs, based on relevance, faculty member's performance appraisal and the required competencies of the position. They are expected to support the overall faculty members development program by encouraging and facilitating participation in professional learning activities. They also have a responsibility for ensuring that faculty members undertake any training provided by the University.
- *Faculty member:* Each faculty member is ultimately responsible for developing work-related skills and knowledge. An effective professional learning activity depends on the active participation of the faculty members. All faculty members must attend or participate in professional development activities inside or outside the University related to their field of teaching and learning strategies and student assessment and evaluation. Faculty members eligible for training are entitled to attend at least one annual training and development program within the approved training budget. All faculty members are expected to support professional learning activities so that the benefits they bring to both the University and individual staff members are maximized.
- *Human Resource Directorate:* HRD is responsible for verifying compliance with the DAU's policies and availability of funds as per the DAU's budget.
- *Training and professional development Center:* The Training and professional development Center is responsible for the development, implementation and evaluation of the in-house professional training and development programs for faculty members aligned with the University activities in teaching, research, and community engagement.
- *Scientific Council:* The Scientific Council is responsible for the approval of the out-house scientific participation for faculty members aligned with the university activities in teaching, research, and community engagement.

- **Teaching Staff Committee:** it is responsible for Orienting new faculty members and providing the necessary support, Organizing workshops and courses during each semester based on the needs of faculty members and according to the results of performance evaluation, Directing faculty members to attend educational and research workshops and Assisting faculty members who have no research activities or weak research activities and follow up on their progress with regard to research activities.
- **The Training and Proficiency Development center:** supports and sets training programs and initiatives to develop the faculty member skills, experience and effectiveness.

The faculty member supporting and developing activities may include:

- activities supporting mission, goals, and objectives of DAU's Strategic Plan.
- support attending training courses to update knowledge in scientific and technological advances.
- activities improving the quality of research at DAU.
- support to participate, within his/her department conferences, seminars and /or workshops.
- support to participate in community services such as training and consultation through organizing training courses.
- support to participate in local and international conferences, symposiums, workshops, and seminars.
- support to attend professional learning programs and seminars offered by external bodies.
- encouragement for faculties to join and participate actively in professional associations and/or organizations relevant to their specific discipline.

#### Administrative Staff Development:

For enhancing and developing the Administrative Staff Members skills and experience the following responsible personnel in DAU will have the following roles and responsibilities:

- **Directors and Deanships:** The Directors and Deanships are responsible for identifying the individual staff's professional training and development needs, based on relevance, staff member's performance appraisal and the required competencies of the position. They are expected to support the overall staff member development program by encouraging and facilitating participation in professional training activities. They also have a responsibility for ensuring that staff undertake any training provided by the University.
- **Staff member:** Each staff member is ultimately responsible for developing work-related skills and knowledge. An effective professional training activity depends on the active participation of the individuals involved. All staff members must attend professional development activities related to their jobs, inside or outside the University. All staff members are expected to support professional learning activities; so that the benefits they bring to both the university and individual staff members are maximized.
- **Human Resource Directorate:** The Human Resource Directorate is responsible for the development, implementation and evaluation of the in-house university's professional training and development programs for staff members aligned with DAU's mission, goals and objectives. It is also responsible for the verification of the compliance with the DAU's policies and availability of funds as per DAU's budget.

The administrative staff member supporting and developing activities may include:

- **Coaching:** Coaching is conducted by a subject matter expert. It aims to improve the performance of an individual or a team so that they can be more successful and more easily accomplish their assigned tasks.
- **On-the-Job Training:** On-the-job training is an option that is utilized to assist a staff member learn a new skill, and where attendance at a formal training course is not appropriate or available.
- **Conferences, Seminars, and Workshops:** Attendance at conferences, seminars, and Workshops aims to provide up-to-date knowledge of current trends, best practice and networking with external professional colleagues.
- **Continuous Education:** DAU provides support to staff to undertake continuous education through the provision of study support which enables staff to have access to different training programs.

- **Membership of Professional Associations:** Membership and participation in the activities of professional associations provides another method of maintaining up-to-date knowledge of current trends, best practice, and professional networks.

#### 4. Policy Procedure

| S.No.                    | Procedure Steps  | Responsibility                                    |
|--------------------------|--|---|
| <b>Training Request</b>  |  |   |
| 1                        | Completing and submitting the Professional Development Form together with relevant documents about the event to the Head of Academic Department/HR Director.   | Faculty member/<br>administrative staff<br>member |
| 2                        | Reviewing the request and consulting with the applicant, if necessary, then approves or disapproves the request. Forwards the approved request to the Dean of College/CEO (for faculties, heads of academic departments/staff members) or to Vice-President/CEO (for academic and administrative leaders)  | Head of Academic<br>Department/HR<br>Directorate  |
| 3                        | Reviewing the request, consults with the applicant's supervisor (academic department Head/administrative department), if necessary, and approves or disapproves the request. In case of teaching staff, forwards the approved request to the University Vice-President.  | Dean of the college/CEO<br>Vice-President/CEO     |
| 4                        | Reviewing the request, consulting with the applicant's supervisor (academic department Head/administrative department), if necessary, and approves or disapproves the request.<br><i>If approved:</i> Forwards the original request to the Dean of the college/HR Directorate.<br><i>If not Approved:</i> Returns the form to the Dean of the college/ HR Directorate with explanatory note for the rejection. | University Vice-President                         |
| 5                        | Reviewing the request and verifying compliance with the DAU's policies and availability of funds as per the DAU's budget. In cases where the cost of the training program exceeds the assigned budget, notifies the applicant. Forwards the approved request to the University Vice-President for final approval.  | HR Directorate                                    |
| 6                        | -Sending the request to the university internal audit Unit, to review and investigate.<br>-Approves/disapproves the request.<br>If approved forwards the request to the Finance Department.  | University Vice-President                         |
| 7                        | Processing the payment of event funding as approved.   | Finance Department                                |
| 8                        | Placing a copy of the approved request form in the faculty's/staff member's personnel record.  | HR Directorate                                    |
| <b>In-House Training</b> |  |   |
| 1                        | Analyzes and identifies staff training needs using various methods, such as faculty/staff member performance evaluation, surveys and questionnaires, job-related competency observations, staff focus groups, projects requiring new skills.   | Head of Academic<br>Department/HR<br>Directorate  |
| 2                        | Based on the outcome of the above analyses, recommends a list of training topics for the next Academic Year.   | Head of Academic<br>Department/HR<br>Directorate  |
| 3                        | Discusses the availability of the training budget and plans accordingly.   | HR Directorate                                    |

|   |  |  |
|---|--|--|
| 4 | Searches for the best facilitator or training consultancy firm to offer the targeted workshops, based on budget and training needs.                          | Training and professional development Center |
| 5 | Designs the objectives and outlines for each workshop in coordination with the concerned heads of academic departments/Directors and targeted audience.      | Training and professional development Center |
| 6 | Plans for the suitable time and location for each workshop in coordination with the concerned heads of academic departments/Directors and targeted audience. | Training and professional development Center |
| 7 | Arranges for all necessary visas, hotel and flight bookings in case trainers are recruited internationally or from other countries.                          | HR Directorate                               |
| 8 | Arranges for the post-training survey for each workshop.   | Training and professional development Center |
| 9 | Keeps copies of the attendance certificates in each participant's file and updates the HR Training records.  | HR Directorate                               |

### Training records

- Upon returning from the training, the faculty members and staff members must submit a Post Training Report within One week. The report must include the following:
  - Objective
  - Duration
  - Results
  - Issues or Points for future follow up.
- The faculty member must also make a presentation to colleagues in her/his department/directorate and other relevant departments/directorates about her/his experience and the knowledge she/he acquired through the training.
- Faculty members must refund the University either in cash or by deduction from their salary if they fail to submit evidence of attending the training.
- Faculty members are strongly encouraged to maintain records of their training and development activities and to update their CVs accordingly.

### 5. Related Policies/ Documents/ Forms

DAU 4-10 Faculty member and Professional Staff Role Policy  
DAU 4-11 Faculty member and Staff Disciplinary Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-3 Code of Conduct Policy

| Policy Code           | Policy Name            |                    |  |
|-----------------------|------------------------|--------------------|--|
| DAU 4-3               | Code of Conduct Policy |                    |  |
| Responsible Executive | Current Revision Date  | Next Revision Date |  |
| HR Directorate        | 10/2023                | 10/2027            |  |

### 1. Policy Purpose

This policy aims to promote ethics, honesty, and professionalism within all the levels of DAU and amongst its employees (faculty members and DAU employees). DAU believes in being an integrated institution where the action of every employee affects the entire institution and its reputation.

### 2. Policy Scope

This policy is applied for all DAU's employees and faculty members.

### 3. Policy Statement

- Every employee is obligated to strive for the extension of DAU's interests within legal limits and is responsible for preventing damage or loss of the University's interests. DAU expects all employees to abide by this Code in carrying out their duties and functions to preserve trust and to ensure the institution's sustainable growth and development. DAU is a community of well-trained and highly motivated males and females. They are committed to the ethical treatment of all our stakeholders. As an institution, they are committed to honesty, integrity, fairness, providing a safe and healthy work environment, and respecting the dignity due to everyone. **"Creating an environment of Trust and Respect for each other is the key to our current and continued success"**. Staff members should reflect the core values of DAU in all activities and across all levels. He/she should advance the core values of DAU Academic Excellence, Innovation and Creativity Nurturing, Knowledge Empowerment, A Welcoming Community, Fostering Ethical Conduct; reflect the high standards of competence and ethical conduct; **"be honest, forthright, impartial, and willing to serve with loyalty"**.
- DAU Code of Conduct (General): DAU is committed to the exercise of the highest standards of behavior, and adherence to principles of ethical and moral integrity. These commitments are central to the university's success as an academic institution whose primary focus is to share knowledge, teach lifelong learning skills, and reinforce moral codes in students in accordance with the institutional vision and mission, and Islamic tradition. The following set of values and related code of conduct applies to all DAU community members:
  - **Creativity**: DAU supports creative activities that approach challenges and issues from multiple perspectives to:
    - find solutions and advance knowledge.
    - promote acceptable behaviors.
    - promote high work standards and ethics.
    - provide a benchmark for members to use for self-evaluation.
    - establish a framework for professional behavior and responsibilities.
  - **Excellence**: All DAU activities are conducted with strong emphasis on international quality standards.
  - **Inclusiveness**: DAU embraces shared governance, inspires tolerance, and promotes diversity.

- **Social Responsibility:** DAU promotes community engagement, environmental sustainability, and global citizenship. It also promotes awareness of, and support for, the needs and challenges of the local and global communities.
- **Non-Discrimination:** DAU provides equal opportunities and guarantees equal treatment to all its members and applicants regardless of their gender, age, race, color, religion, national origin, social status, marital status, or disability.
- **Non-Harassment:** DAU prohibits harassment and inappropriate behavior of all kinds based on gender, age, race, color, religion, national origin, social status, marital status, or disability.
- **Integrity:** Unethical practices will not be tolerated, and integrity will never be compromised. DAU members must conduct themselves with academic honesty and respect the intellectual property of others. Misrepresentation of credentials is unethical and will not be tolerated. DAU members must not plagiarize, conduct unauthorized collaborations, fabricate documents, or violate DAU rules. DAU employees are obliged to conduct university business transactions with the utmost honesty, accuracy and fairness. Employees should not accept anything of value offered in consideration of performing their duties, other than the compensation, benefits and reimbursement of expenses duly authorized by the University.
- **Conflict of Interest:** DAU members owe their primary professional loyalty to the University and its Mission. (See Conflict of Interest Policy)  
Transmitting to outsiders or otherwise using DAU-funded property, work products, results, materials, property records or information developed with DAU funding is considered unethical behavior. DAU members should not accept any favor, loan, service, business, or professional opportunity from anyone knowing that it is offered to improperly influence the performance of their university duties and responsibilities.
- **Financial Reporting:** All University accounts, financial reports, expense reimbursements, time sheets and other documents, including those submitted to government agencies, must be accurate, clear and complete and backed by supporting documentation.
- **Dress Code:** DAU staff members are required to observe the dress code when appearing in public and representing the University. Staff members who contravene the dress code will be subject to disciplinary action without prior notice. Students and employees are required to observe the dress code on the University premises during and outside working hours. Revealing, transparent, tight fitting and short clothes are strictly prohibited. Failure to comply with these directives will result in denial of entry.
- **University Property:** DAU community members are required to safeguard university property and equipment to which they have access. Individuals will be held responsible and therefore may be required to replace, repair, or compensate for any damage to university property caused by neglectful, wanton or careless actions.
- **Health and Safety in the Workplace:** DAU community members have a shared responsibility to ensure a safe, secure, and healthy environment within the university and are expected to:
  - Follow safe workplace practices and report accidents, injuries, and unsafe situations.
  - Report suspicious activities.
  - Protect the environment, including by properly handling hazardous waste and other potentially harmful agents, materials, or conditions.
  - Comply with the university safety instructions, as per the "Guide to hazards related to occupational safety and health and how to deal with them" (Ministry of HRSD).
- **Drugs, Intoxicants & Alcohol:** Anyone who is found to be involved in the production, sales, consumption or distribution of illegal drugs, intoxicants or alcohol will be subject to instant dismissal. Smoking will be subject to disciplinary action.
- All faculty members of the university academic community are expected to maintain high standards of academic integrity, professionalism, and interpersonal relationships as follows:
  - **Academic Freedom:** DAU is committed to academic freedom and promotes activities that provide opportunities to pursue the academic objectives of research, teaching, education, and scholarship.



University members should be able to communicate informed views and criticisms based on their learning and study without being censored or jeopardized. Academic freedom implies academic responsibility, which entails respect for the rights of others to express their opinions, fairness in expounding differing points of view, and encouragement of critical thinking. In the exercise of academic freedom, DAU faculty members, Colleges staff and students have an obligation to make clear that they are not representing DAU or its Board. Therefore, the University cannot be held liable towards a Third Party for their exercise of academic freedom. Without appropriate pre-approval, all faculty members, administrative staff and students must avoid any action which appears to commit the University to a position on any issue. They must therefore strive to be accurate, exercise appropriate restraint, and respect the right of others to express their opinions. The exercise of academic freedom must be within the frame of the Saudi Arabia Legislations.

- *Academic Integrity*: Faculty members must be honest, trustworthy, fair, respectful, and responsible in their:
  - Dealings with individuals within the University and associated with it
  - Actions while at DAU and on the university's behalf
  - Teaching, scholarship, and research
  - Use of intellectual property
- *Professionalism*: Faculty members must:
  - Adhere to university policies and procedures.
  - Be objective in their work-related actions.
  - Be timely in meeting deadlines.
  - Engage in professional development.
  - Work constantly to improve the quality of their teaching and knowledge of their field.
  - Maintain confidentiality.
  - Meet or exceed the standards of their profession.
  - Be positive role models.
  - Contribute to the advancement of the university.
- *Interpersonal Relationships*: While interacting with students, staff, colleague, administrators and others related to the University or University activities, faculties should be:
  - Cooperative
  - Encouraging
  - Courteous
  - Compassionate
  - Sensitive
  - Fair
  - Open-minded
  - Respectful
  - Aware of socio-cultural obligations
  - Supportive
  - Tolerant
  - Tactful
- The following violations must be avoided by DAU employees (faculty members and administrative staff):
  - Deliberate abstinence of attending work from an employee or promoting such an act.
  - Deliberately ignoring job duties by any employee or ignoring delegated assignments on purpose.
  - Organizing activities or meetings, issuing, and distributing brochures, or collecting funds or signatures or any other activities that might conflict with the university's rules and regulations.
  - Destroying or misusing any University's assets or property.
  - Disrespecting public taste with appearance, clothing, or attitude.
  - Doing any disrespectful actions, or attacking others verbally or physically
  - Smoking inside the university's buildings.

- Destructing any university assets or buildings deliberately.
- Disobedient to his/her superiors or refusing to accomplish his job assignments.
- Offending the university or a member of the university staff in any way, through social media or any other communication method, which gives out a bad image about his/her morals.
- Doing any behavior that's against the code of trust or honor outside the university, and a court rule is issued to convict him/her.
- Involving in any cheating, fraud, or any forgery cases that has something to do with his/her admission papers and forms (like forging PhD degree, training certificate, or any other official document, etc.).
- Hacking into the university system, illegally, at any time and from any place and for any reason.
- Involved in stealing any capital that belongs to the university, directly or indirectly through planning, motivating, or helping.
- Giving out confidential information or any information that might offend the university to any outside party.
- Receiving any bribe or personal interests of some sort.
- Putting out any political or religious ads, or any other handouts or brochures inside the university's campus and property.
- Attacking any university coworker, threatening them or any related action.

#### 4. Policy Procedure

| S. No. | Procedure Steps  | Responsibility   |
|--------|--|--|
| 1      | Forms of a committee for staff and faculty members behavioral control composed as the following: <ul style="list-style-type: none"> <li>- Committee Head: University Vice-President (for faculties)/CEO Representative (for administrators)</li> <li>- Direct Supervisor</li> <li>- Staff Representative</li> <li>- HR Director</li> <li>- A secretary chosen by the University Vice-President (for faculties)/CEO (for administrators)</li> </ul> | University Vice-President (for faculty members)/CEO (for administrators) |
| 2      | -Forms the meeting according to an invitation by the Committee Head<br>-Listen to any witnesses if necessary.<br>-Makes decision by majority, and the meetings aren't official unless all members are present.<br>-Reports the decisions to the University President/CEO, in a period not more than two weeks from any decision making, with the meeting agendas   | Committee  |
| 3      | Approves punishment decisions taken by the committee   | University President/CEO   |
| 4      | -At the expiration of the period prescribed for contesting decision (3 working days from informing date), the decision will be approved.<br>-In case of contesting decision, committee reconsiders the decision during period of 5 working days.   | Committee  |
| 5      | After the University President/CEO permission, publishes punishments on any member on the university's bulletin board.   | Committee  |

#### 5. Related Policies/ Documents/ Forms

DAU 4-14 Conflict of Interest Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy     |
| 2       | 10/2023          | Comprehensive Change in the Policy      |

## DAU 4-4 Succession Plan for Middle and Senior Management Posts Policy

| Policy Code                 | Policy Name   |                    |  |
|-----------------------------|---|--------------------|--|
| DAU 4-4                     | Succession Plan for Middle and Senior Management Posts Policy |                    |  |
| Responsible Executive       | Current Revision Date   | Next Revision Date |  |
| - Succession plan committee | 10/2023   | 10/2027            |  |

### 1. Policy Purpose

This policy governs the rules, regulations and procedures followed in identifying, selecting, and preparing eligible employees for middle and senior management posts in DAU administration.

### 2. Policy Scope

This policy is applied for DAU's employees who are in the middle and senior management.

### 3. Policy Statement

*Succession plan:* it is the process of identifying employees with the potential for succession to middle and senior management posts, identifying the gaps between those employees' capabilities and the requirements of those posts, and providing employees with appropriate training and professional development to prepare them to assume their posts.

*DAU is committed to* ensuring stability of its human resources, sustainability and organizational growth and continuity within the University by providing eligible employees with the training and development necessary to prepare them for succession to middle and senior management posts.

- For the academic posts, the University President is responsible for overseeing the execution of the succession plan.  
For the administrative posts, the CEO is responsible for overseeing the execution of the succession plan.
- The University Vice-President (for academic posts) and the HR Director (for administrative posts) consult with appropriate individuals to identify eligible employees for succession to middle and senior management posts according to the following criteria:
  - Potential for growth.
  - Leadership ability.
  - Knowledge of specialization.
  - Seniority.
- For the academic and administrative posts, the Succession Plan Committee is responsible for developing the succession plan for each eligible candidate. The committee membership is:
  - University President,
  - University Vice-President,
  - CEO,
  - Director of planning, development, and Quality Assurance Directorate
  - HR Director
- The University provides necessary training to candidates according to the succession plan.

- Succession plans do not entitle individuals to positions, promotions, or transfers. Employees must compete for vacant positions once announced in accordance with HR policies and procedures.
- The Succession plan must be in alignment with the Strategic, Expansion, and Growth plan of the University.

#### 4. Policy Procedure

| S. No. | Procedure Steps   | Responsibility   |
|--------|---|--|
| 1      | Prepares a list of eligible candidates for succession as per set criteria.  | University Vice-President/HR Director                              |
| 2      | Conducts psychological and career assessments of the listed employees.  | University Vice-President/HR Director                              |
| 3      | Interview the listed employees.   | University President/CEO   |
| 4      | Identifies training and development needs for the selected candidates for the next five years.<br>The Succession Plan Committee, consisting of the President, Vice President, CEO and HR Director. The committee is responsible for developing the succession plan for each eligible candidate. | Succession Plan Committee  |
| 5      | Sends the training plan to the HR Director.   | University Vice-President  |
| 6      | In consultation with the Committee, devises and implements training and development plans to address the specified needs of each candidate.   | General Directorate of Planning, Development and Quality Assurance |
| 7      | Monitor the progress of each candidate by scheduling individual follow-up interviews.   | University Vice-President  |
| 8      | Communicates the progress of the succession plan to the Board of Trustees on an annual basis.   | University President/CEO   |
| 9      | Retains the career plan files for succession plan candidates.   | University Vice-President  |

#### 5. Related Policies/ / Documents/ Forms

DAU 4-10 Faculty members and Professional Staff Role Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 4-5 Delegation and Authority System Policy

| Policy Code           | Policy Name                            |                    |  |
|-----------------------|--|--------------------|--|
| DAU 4-5               | Delegation and Authority System Policy |                    |  |
| Responsible Executive | Current Revision Date                  | Next Revision Date |  |
| HR Directorate        | 10/2023                                | 10/2027            |  |

### 1. Policy Purpose

This policy aims to define the limits of authority designated to specified positions of responsibility within DAU and governs the rules, regulations and procedures followed in appointing an acting person in-charge during the absence of middle or senior post staff members as well as the process for delegation of authority.

### 2. Policy Scope

This policy is applied for delegated and authorized DAU's employees.

### 3. Policy Statement

DAU has an effective approved delegation system.

### 4. Policy Procedures

#### Granting of Authority

- Delegations of authority should be limited both in scope, number, and time frame to those which are necessary to achieve efficiency while maintaining accountability.
- The delegated person should be held accountable for his/her actions while using the delegated authority and power.
- Delegations of authority should be appropriate to enhance the effectiveness and efficiency of the operation without risking the integrity of the internal control necessary for accountability.
- It is required that individuals who receive delegations of authority have actively participated in the activities they will be conducting and have sufficient knowledge of the university policies, rules, laws, regulations, and procedures to ensure compliance.
- To ensure compliance with legislation and policies referred to above, the Delegated person shall receive training from the Delegating person.
- A delegation of authority shall be proper with the employee's role and responsibility within the organization.
- Each department is responsible for managing and monitoring its departmental delegations of authority. This includes maintaining official files of all delegations of authority and conducting annual reviews of all the delegations to ensure that they are revised as necessary. Employees with delegated authority are accountable for the documents they sign and shall be responsible for assuring payment, performance, and adequate record-keeping.

#### Acting Appointments

- During the absence of any of the middle (Head of departments/Directors/Heads of Units) posts or senior posts (University Vice-President/Deans of colleges, Dean of Admission, Registration, and student affairs, CEO, General Directorate of Planning, Development & Quality Assurance, etc.) the University President

assumes their responsibilities or appoints a staff member to act on their behalf. The University President must specify the period of the acting appointment through an official memo or e-mail.

- During the absence of the University President, the acting person in-charge will be the University Vice-President.
- During the absence of the Dean of Admission, Registration, and student affairs, the University Vice-President appoints an acting Dean.
- During the absence of the General Directorate of Planning, Development & Quality Assurance, the person acting in-charge will be the deputy director for Planning, Development & Quality Assurance.
- During the absence of an Administrative Director, the CEO appoints a person to be in charge.
- During the absence of an Academic Department Head, the Dean of College makes a recommendation for an acting Head and the Vice Rector for Academic Affairs approves or otherwise appoints a person to be in charge.
- During the absence of the Dean of College, the University Vice-President makes a recommendation for an acting Dean.
- The person in-charge acting must operate within the delegation limits set by the middle or senior post staff member.
- The acting person in-charge must maintain continuous communication with the middle or senior post staff members.
- Acting appointments in the areas of Finance, contracting and Human Resources are governed by the policies and procedures of each respective department.

#### A delegation of authority

A delegation of authority shall become effective on the date the delegation is fully executed. Delegations shall continue until revoked or modified because the delegate leaves the position or has his/her duties and responsibilities changed to broaden or lessen the limits of delegation. The departments are responsible for maintaining active and up to date delegations of authority and should review all delegations annually to assure that the delegations on file with the Controller are up to date. The delegation must be fully executed before any documents are signed by the Delegate.

#### 5. Related Policies/ Documents/ Forms

DAU 4-3 Code of conduct policy  
DAU 4-10 Faculty members and Professional Staff Role Policy  
DAU 4-11 Faculty members and Staff Disciplinary Policy  
DAU 4-14 Conflict of Interest Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 01/12/2014       | 1 <sup>st</sup> issue of the policy     |
| 2       | 07/12/2016       | Policy updates to meet new requirements |
| 3       | 05/12/2021       | Exceptions has been added               |
| 4       | 10/2023          | Comprehensive update of the policy      |

## DAU 4-6 Contract Termination Policy

| Policy Code  | Policy Name                 |                       |                    |
|--|-----------------------------|-----------------------|--------------------|
| DAU 4-6  | Contract Termination Policy |                       |                    |
| Responsible Executive  |                             | Current Revision Date | Next Revision Date |
| -University President<br>-University Vice President<br>-HR Directorate |                             | 10/2023               | 10/2027            |

### 1. Purpose of Policy

This policy governs the rules, regulations and procedures followed in terminating an employee's contract for a cause. All employing and termination rules.

### 2. Policy Scope

This policy is applied to all academic and administrative staff at DAU.

### 3. Policy Statement

- DAU has the right to terminate an employee's contract with or without prior notice, depending on the circumstances of the termination and based on Saudi Labor law.
- The Department Head/Director and the Vice President must consult the Director of Human Resources when terminating an employee. The Director of Human Resources is responsible for ensuring adherence to the proper process and making sure that the action taken complies with the employee's contract of employment and the Labor Law of the Kingdom of Saudi Arabia.

#### Terminating an employee with legitimate reason and with notice

- The notice period for terminating employees is 60 days prior written notice period provided to the second party for professional staff and faculty members.
- The University pays gratuities and end of service benefits to terminated employees as per Articles 84, 85, 86, 87 and 88 of the Saudi Labor Law. The University pays the employee an end-of-service benefit according to the Saudi Labor Law.

#### Terminating an employee without legitimate reason and with notice

- The notice period for terminating employees is 60 days prior written notice period provided to the second party for professional staff and faculty members.
- The University will pay a compensation/indemnity of two months' salary, according to Article (77) of the Saudi Labor Law.
- The University pays gratuities and end of service benefits to terminated employees as per Articles 84, 85, 86, 87 and 88 of the Saudi Labor Law. The University pays the employee an end-of-service benefit according to the Saudi Labor Law.

#### Terminating an employee without notice

- DAU has the right to terminate an employee's service and contract without notice in some specific cases and his/her award or indemnity may be forfeited in cases of serious misconduct or the commission of serious errors.

- The following cases are considered serious misconduct or commission of serious errors, as per Article 80 of the Saudi Labor Law:
  - If, during or because of the work, the employee assaults the employer, the manager in-charge or any of their superiors.
  - If the employee fails to perform their essential obligations arising from the work contract, or to obey legitimate orders, or if, despite written warnings, they deliberately fail to observe the instructions related to the safety of work and employees as posted by the employer in a prominent place.
  - If it is established that the employee has committed a misconduct or an act infringing on honesty or integrity.
  - If the employee deliberately commits any act or default with the intent to cause material loss to the university, provided that the latter shall report the incident to the appropriate authorities within Twenty-Four hours from being aware of such occurrence.
  - If the employee resorts to forgery to obtain the job.
  - If the employee is hired on probation.
  - If the employee is absent without valid reason for more than thirty days in one year or for more than fifteen consecutive days, provided that the dismissal be preceded by a written warning from the employer to the employee if the latter is absent for twenty days in the first case and for ten days in the second.
  - If the employee unlawfully takes advantage of their position for personal gain.
  - If the employee discloses work-related industrial or commercial secrets.

Note: Employees terminated without notice are given a chance to state their reasons for objecting to the termination.

#### 4. Policy Procedure

| S. No. | Procedure Steps   | Responsibility             |
|--------|---|----------------------------|
| 1      | Holds present to the Director of Human Resources the reasons for terminating the employee's contract.   | DAU top management         |
| 2      | Verifies that the reasons for termination comply with the terms of the employee's contract as well as the Labor Law of the Kingdom of Saudi Arabia. | Human Resources Director   |
| 3      | Conducts a written investigation and informs the employee in writing to sign the penalty/dismissal.   | Human Resources Director   |
| 4      | Discusses the termination case with the University President.   | Human Resources Director   |
| 5      | Verifies with the Director of HR the process of termination.  | The University President   |
| 6      | Inform the employee of the termination.   | Human Resources Department |
| 7      | Issues a notice of termination to the employee.   | Human Resources Director   |
| 8      | Starts the handover and clearance process.  | Employee                   |

#### 5. Related Policies/ / Documents/ Forms

DAU 4-9 Teaching Staff Employment Policy  
DAU 4-11 Faculty member and Staff Disciplinary Policy  
DAU 4-23 Administrative Staff Employment Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |



## DAU 4-7 Faculty Members and Administrative Staff Grievance and Appeal Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 4-7   | Faculty Members and Administrative Staff Grievance and Appeal Policy |                    |  |
| Responsible Executive   | Current Revision Date  | Next Revision Date |  |
| -Employee Grievance Committee (EGC)<br>-Human Resources Directorate | 10/2023  | 10/2027            |  |

### 1. Purpose of Policy

This policy shows how DAU's employees (Faculty members and administrative Staff) are aware of their right to formally submit a grievance against an administrator or another individual or party concerning any dispute that could not be resolved amicably. Also, it explains the procedure for conducting grievance/ complaints and how it will be processed in DAU.

### 2. Policy Scope

This policy is applied for all academic and administrative units at DAU.

### 3. Policy Statement

Employees in DAU can complain if any unsatisfied academic or ethical incidents or actions happened to them within DAU. DAU's employee is entitled to formally submit a grievance/ complaint regarding the following procedures mentioned in this policy. The Employee Grievance Committee (EGC) of DAU is responsible for receiving and solving complaints which are not resolved internally.

DAU President appoints members of the EGC and its Chairperson. The findings and recommendations of the EGC will be forwarded to the University President for necessary action, if any. In making its recommendations, the EGC shall decide whether a violation of regulation, policy, or procedure has occurred. If it is determined that there was a violation, the EGC shall consider factors such as whether the violation was intentional or unintentional and if it was due to some negligence or misunderstanding of rules and regulations.

*The duties of the Chairperson of EGC shall include the following:*

- Providing relevant information to the grievant for filing a grievance.
- Receiving the written grievance.
- Arranging for EGC meetings and scheduling the hearings.
- Supervising the meetings and ensuring the hearings are conducted in accordance with the specified procedure.
- Ensuring that all records are maintained.
- Submitting the findings of EGC and its recommendations to the University President.
- Informing the concerned parties about the final decision taken by the University President.

*The members of the EGC are responsible for:*

- Reviewing the grievance and ensuring that it is complete with all required information and documents.
- Deciding if the grievance does in fact need processing by the EGC.
- Hearing the evidence presented by the grievant as well as arguments presented by the defendant(s) and questioning both sides with the aim of finding exactly what happened. This should also cover the witnesses from both sides and their cross-examination.

- Reaching a decision based on presented evidence, discussions, and cross-examinations and making appropriate recommendations.
- Making sure that confidentiality is strictly maintained.

Note: In case the Chairperson or any other member of the EGC is him/herself the grievant or defendant, he/she must quit the Committee. The University President will appoint a replacement for that member.

Replacement of the absent EGC member during the formal hearing process.

#### 4. Policy Procedure

##### The employee's complaints/ Grievance procedures in DAU

- The grievant/ complainer must specify must fill [Employee Complaints and Grievance Description Form .docx](#) shall be filled with the complainer and submitted to his/ her (Director/Dean/HOD, etc.)
- The (Director/Dean/HOD, etc.) trying to solve complaints/ grievance internally with the complainer.
- If this internal solution doesn't work and the complaint/ grievance is still opened the [Employee Complaints and Grievance Description Form .docx](#) will be submitted to HR for further investigation.
- HR will receive the complaint form, then the HR will contact the defendant to fill [the defendant's response form regarding the grievance or complaint .docx](#) and hear from the defendant about this grievance complaint.
- HR will try to solve the complaint/ grievance internally between the complainer and the defendant. If it doesn't work and the complaints do not close, HR will submit the forms and the complaints to the EGC.
- The Chairperson of the EGC will conduct an informal inquiry and meet with the grievant to resolve the matter.
- If the complaint is solved, the complaint/ grievance will be closed.
- If the grievance cannot be resolved, the Chairperson will forward it to the committee members for review, and they will decide if the grievance requires a formal hearing.
- As a First step in the hearing process, the EGC shall notify the University President about initiation of the process. It will also inform the parties concerned and provide them with relevant information and documents to prepare for the hearing. In this regard, the Chairperson of the EGC shall be responsible for all communication. The parties concerned shall be given reasonable time for preparation and allowed to present their views personally, provide evidence, call witnesses, and cross-examine the witnesses of the other party. Each party shall be informed about the identity of the witnesses prior to the date of the hearing. It must, however, be noted that the witnesses will only come to the hearing on a voluntary basis and cannot be forced by either party to attend the hearing. A record of the hearing shall be prepared.
- At the completion of the hearing, the EGC members will discuss after the hearing and the final decision will be raised by voting with majority of the EGC. Within One week of the decision made by the EGC, the Chairperson shall submit the [Competent authority decision form .docx](#) and the formal hearing report to the University President.
- University President will approve the final decision raised by the EGC.
- Ater the University President has decided, the Chairperson of EGC shall inform the concerned parties about the final decision.
- HR will implement and keep records for the decision implementation.

##### Appeals

- If the employee is not satisfied with the decision, he/she can file a written appeal to the Legal Affairs.
- The appellant should file his or her appeal within 5 days of being notified of the decision.
- After Legal Affairs making final review of the matter, which may include consultations -with one or more parties- One of the following decisions may be taken.
  - Accept the appeal.
  - Remand the matter to a lower administrative level.
  - Refer the matter directly to the concerned DAU Unit (college, department, etc.).

- Reject the appeal if Legal Affairs finds the decision taken is proper.
- In case of acceptance the appeal, the University President may also appoint a committee to investigate the matter and report the findings back to him. In such case, the committee will thoroughly investigate the matter and hold such consultations, as it deems necessary to arrive at responsible recommendations consistent with the policies of the University.
- At the completion of the investigation, the committee will prepare a detailed report and submit it to the President.
- After receiving this report, the President will make the final decision on the appeal that he deems appropriate.
- The appellant will be informed about the final decision made by the President.

#### 5. Related Policies/ Documents/ Forms

[Employee Complaints and Grievance Description Form .docx](#)  
[The defendant's response form regarding the grievance or complaint .docx](#)  
[Competent authority decision form .docx](#)

DAU 4-3 Code of Conduct Policy  
 DAU 4-9 Teaching Staff Employment Policy  
 DAU 4-10 Faculty member and Professional Staff Role Policy  
 DAU 4-11 Faculty member and Staff Disciplinary Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-8 New Employees Orientation Policy

| Policy Code   | Policy Name                      |                    |  |
|---|----------------------------------|--------------------|--|
| DAU 4-8   | New Employees Orientation Policy |                    |  |
| Responsible Executive   | Current Revision Date            | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- HRD</li> <li>- IT</li> <li>- Directorate of Quality Assurance</li> <li>- Operation and Maintenance Management</li> </ul> | 10/2023                          | 10/2027            |  |

### 1. Purpose of Policy

This policy governs the rules, regulations, and procedures followed in managing the orientation program offered to newly appointed DAU employees.

### 2. Policy Scope

This policy is applied for all new academic and administrative employees at DAU.

### 3. Policy Statement

#### Institutional Orientation

- At the beginning of each academic year, DAU arranges for an orientation program where Heads of administrative and academic Departments introduce the University's structure, main systems, and policies.
- The University Vice President is responsible for familiarizing new faculty members with the main academic topics and policies. The Quality Assurance Directorate arranges to conduct several comprehensive sessions on different academic topics, including the course syllabus, course file and course report, teaching strategies, learning platforms, course matrix, etc.
- The HR Directorate is responsible for familiarizing new faculties and administrative staff with the main HR services and general regulations.
- The HR Directorate is responsible for introducing the employee Handbook and main policies.
- The HR Orientation can be conducted on an individual or collective basis.
- The IT Department is responsible for introducing the University's Network Infrastructure, the University's Management Information Systems, and the IT Support Services (SIS, LMS, HRM, etc.).
- The Operation and Maintenance is responsible for purchasing support tools for the new employee.

#### Departmental Orientation

- The line manager introduces the new employee to the department staff and faculty members and other key personnel and arranges for an internal Departmental Orientation program. The Departmental Orientation covers the following topics:
  - The department's mission and goals
  - The department's organizational chart, including the relationship with other departments.
  - The employee's job description
  - The area of evaluation during the probation period
  - Supplies/keys/computer account requests and access rights
  - On-the-job training
  - Working hours, rest periods and leave policies.

### For the new Faculty Member

His/ Her department shall clarify the general academic-related matters (schedule, course file, faculty development, grades and student absence policy, student evaluation of instruction, syllabus, committees, learning platform, etc.).

### 4. Policy Procedures

| S. No. | Procedure Steps   | Responsibility             |
|--------|---|----------------------------|
| 1.     | Receives and welcomes new employees on their first day of work.   | HR Director or             |
| 2.     | Provides new employees with a campus tour.  | HR Director                |
| 3.     | <p>Holds a Human Resources Orientation Session with the employee or group of employees, ensuring to discuss the following points:</p> <ul style="list-style-type: none"> <li>- Where the employee fits within the departmental and divisional organizational structure</li> <li>- The employee's career goals and objectives in relation to departmental goals and objectives.</li> <li>- The University's medical insurance policy</li> <li>- The Employee Handbook and major HR Policies (such as Probationary Period, Performance Management System (PMS), Absences/tardiness, Exit Re-entry Visa, GOSI, etc.)</li> </ul>  | HR Director                |
| 4.     | <ul style="list-style-type: none"> <li>- Ensures that the HR database has all the required information about the new employee.</li> <li>- Obtains copies of the passport and residency permit, if applicable.</li> <li>- Requests the employee to submit a photo to the Front Desk to issue a university identification card.</li> <li>- Obtains and verifies the employee's original credentials.</li> <li>- Explain to the employee how to use the timecard system. Obtains the new employee's signature on the employee information form.</li> <li>- An employee should be compensated for expenses (medical checkup, and visa fee) and forward it to the Controller and Director of Accounting for processing.</li> <li>- Makes the necessary arrangements for the employee to open a bank account for the purpose of receiving salary payments.</li> </ul> | HE/ Recruitment Specialist |
| 5.     | Explains the requirements for issuing permanent residence/Iqama (medical checkup, photographs).   | HRD Officer                |
| 6.     | <ul style="list-style-type: none"> <li>- Airport Reception and accommodation services for international recruitment</li> <li>- Provides the employee with a letter addressed to the hospital for conducting the required medical examination and tests for issuing a new residency permit.</li> <li>- Arranges for transportation to the hospital and to the photograph shop.</li> </ul>  | Personal affairs           |

### 5. Related Policies/Documents/ Forms

DAU 4-3 Code of Conduct Policy  
DAU 4-9 Teaching Staff Employment Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-9 Teaching Staff Employment policy

| Policy Code   | Policy Name                      |                    |  |
|---|----------------------------------|--------------------|--|
| DAU 4-9   | Teaching Staff Employment policy |                    |  |
| Responsible Executive   | Current Revision Date            | Next Revision Date |  |
| -Colleges and academic departments<br>-DAU's Human Resource Directorate | 10/2023                          | 10/2027            |  |

### 1. Policy Purpose

To ensure that the University hires qualified and competent full-time and part-time teaching staff with the required qualifications and experience, and that all appointments follow standard university procedures.

### 2. Policy Scope

The policy applies to all DAU teaching staff.

### 3. Policy Statement

This policy ensures effective recruitment and retention of qualified and competent teaching staff with the necessary qualifications and experience. DAU's employment policy ensures that all vacant or newly created positions are filled with qualified and competent teaching staff. An academic rank is determined by the faculties' qualifications, experience, and scholarly work. The terms of their contracts are defined, and appropriate procedures are followed for periodic evaluations and professional development.

DAU's teaching staff consists of professors, associate professors, assistant professors, lecturers, and instructors/teaching assistants/clinical instructors. Teaching staff are selected based on three main criteria: teaching, research, and outreach and community engagement.

A full-time teaching staff shall not accept any other professional assignments or positions outside of DAU without prior approval and are required to adhere to the University's published policies, rules, and procedures. Under the contract, faculty is expected to perform his/her duties honestly, diligently, and to the best of his/her ability. The duties include attending classes (in the classroom and/or laboratory), participating in committees and teams at the college and university, academic advising, conducting examinations, conducting research, participating in university and community service activities, offering expertise, and contributing to student training.

Part-time appointments are semester-specific contracts for specific courses with maximum teaching load is six credit hours per semester. Part-time faculty are limited to 25% of total teaching staff, and they are required to have the same qualifications and scholarly preparation as full-time faculty. Therefore, a part-time faculty member normally holds a full-time position at another Saudi university or has held one previously. He/she may also be a health professional appointed as a clinical professor in a DAU health college by the college's council. An appointment of a part-time faculty terminates at the end of a semester, and no number of renewals of a part-time appointment creates a right to a full-time appointment. Part-time teaching staff are compensated on a credit hourly basis. They are required to allocate two hours per course per week to student consultation in addition to teaching hours.

### 4. Policy Procedures

#### Full-time faculty members employment procedures

- The dean of a college determines the need for new teaching staff in consultation with the head of the academic department. A written description of the required specialization, minimum qualification, and experience shall be provided to the Human Resources Directorate (HRD) using form ([Faculty Members Employment.docx](#))

- The hiring request will then be reviewed by HRD to ensure that it is in accordance with the college's approved manpower budget.
- HRD prepares the job requirements based on the information it receives, posts it on the University website and advertises it at other recruitment venues.
- Candidates are shortlisted by the Dean along with their qualifications and rationales for selection.
- A personal interview must be conducted by the college with each applicant who has been shortlisted. Candidates from outside Riyadh are interviewed remotely online.
- Applicants recommended by the college are forwarded to HR.
- HRD is responsible for validating the authenticity of all degrees and references provided by the selected candidate. For a Saudi graduating from a foreign university, equivalency of academic degrees issued by the Ministry of education is required to validate their authenticity. Non-Saudi candidates must have their degrees authenticated and attested by the Saudi Cultural Mission in the country where they studied, and they must have obtained them from a university recommended by the Ministry of Education via in-person, not via distance or online education.
- A letter of job offer is then prepared and sent to the applicant. Upon the candidate's acceptance, HRD forwards recruitment request to University Scientific Council.
- When the University Scientific Council recommends hiring, the request is forwarded to the University Council for approval.
- Upon approval of the university Council, HRD begins the mobilization process.

#### Part-time faculty Members employment procedures

- A college's dean determines, in consultation with academic department heads, the need for part-time teaching staff with specific specializations, qualifications, and experience before the beginning of the semester.
- It is the responsibility of the college dean and Heads of academic departments to find suitable candidates for part-time positions they need to fill.
- Using the [Part Time Faculty Member Contract Form.docx](#), the college dean submits part-time faculty requests to HR with copies of all relevant documents, such as certificate degrees, experience letters, IDs', bank account information, and approvals from part-time candidates' employers.
- Upon HRD approval, IT sends an email notifying the college dean of the part-time appointment.
- Upon appointment, the college informs the candidate and sends the course assignment request to registration.

#### 5.Related Policies/ Documents/ Forms

DAU 4-10 Teaching staff and Professional Staff Role Policy

DAU 4-17 Teaching staff Promotion Policy

[Faculty Members Employment.docx](#)

[Part Time Faculty Member Contract Form.docx](#)

#### 6. Document History

| Version | Issue / Rev. Date | Updated Information/ summary of Changes |
|---------|-------------------|---|
| 1       | 10/2023           | 1 <sup>st</sup> issue of the policy     |

## DAU 4-10 Faculty members and Professional Staff Role Policy

| Policy Code  | Policy Name  |                    |  |
|--|--|--------------------|--|
| DAU 4-10   | Faculty members and Professional Staff Role Policy |                    |  |
| Responsible Executive                                      | Current Revision Date                              | Next Revision Date |  |
| - Academic units at DAU.<br>- Administrative units at DAU. | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy aims to identify the role of faculty members at DAU. The policy also defines the responsibilities of the professional staff at the University, and it emphasizes the importance of the ethical commitment of faculty and professional staff when performing these roles.

### 2. Policy Scope

This policy is applied to all academic and administrative staff in DAU.

### 3. Policy Statement

DAU'S faculty members are committed to meeting the educational needs of the undergraduate and graduate students through university's programs development and update, teaching, research as well as the interaction with society. These faculty members need support that is provided by the professional staff to achieve DAU's objectives. The role and responsibilities of faculties and professional staff are presented below:

### Role and responsibilities of the Teaching and Learning process in DAU

#### A. Program Coordinator:

For every program, a faculty member is assigned as the Program Coordinator that have the following responsibilities:

- Co-operate with the HoD/dean for preparing a statement regarding the department's needs and submitting any improvement of academic program to the Dean at the appropriate time after consultation with the department.
- Help HoD/dean for supervising program effectiveness activities to ensure proper documentation of assessment and contentious improvement and development of the program and its courses.
- Support HoD/dean for maintaining records for the activities of the department, records of university documents relating to the department and supervision of their use in accordance with rules and practices followed at the University.
- Contribute to selecting of course textbooks and references.
- Contribute for preparing all reports related to the program which the dean's office or the university administration requires from the Department.
- In case of the program is interdisciplinary, the program coordinator will communicate with all stakeholders to ensure smooth running of it.

#### B. Course coordinator:

The Responsibilities of the course coordinator are:

- Organize and conduct a start-up meeting of all course instructors at the start of each semester. This meeting is about discussing and planning for the achievement of the course's learning outcomes CLOs



and the implementation of the improvement actions proposed in the course report of the previous semester.

- Ensure all course instructors have all course materials and textbooks in advance.
- Organize follow-up meetings with course instructors during the semester to ensure that all course instructors follow the course syllabus to achieve consistency among all course sections.
- Prepare and update the course syllabus.
- Coordinate the preparation of unified exams, particularly the midterm and final exams, in cooperation with all course instructors.
- Prepare the combined course report.
- Ensure that the e-course files reflecting the course experience in all sections are submitted and prepare appropriate forms for course coordination are available on.

### C. Roles and responsibilities of the Faculty Members:

- **Teaching:** Faculty members are required to:
  - Teach students in classes and in laboratories (as applicable) using appropriate learning strategies as indicated in the course syllabus.
  - Establish course policies and requirements in accordance with course syllabus.
  - Assessment of Course learning outcomes as indicated in the course syllabus.
  - Establish clear grading standards, to fairly evaluate students based on their academic performance.
  - Academic Advising.
  - Supervise graduation projects (capstone, co-op training, Thesis.)
  - Supervise Co-op Training for graduating students.
  - Supervise students' research projects, such as term papers and practical works, within the rules and regulations of the Department, College, and University.
  - Adhere to the University administrative policies and procedures on issues related to exams, incompletes, withdrawals, drop-adds, and so on.
  - Allocate at least eight office hours per week.
  - Maintain professional behavior within and outside the classroom.
  - Prepare and submit the e-course file.
- **Academic Research:** DAU gives great importance to research that is considered as an essential activity in the production and dissemination of knowledge.  
DAU faculty members are encouraged to devote a reasonable amount of time and effort to scholarly research to maintain academic competence and development of students' education.  
The following is a description of what constitutes "academic research":
  - Studies and works that can be published in books, refereed journals and/or other means.
  - Individual or group research to be published and/or presented in peer-review scientific conferences and academic colloquia.
  - Research aiming at developing teaching skills and techniques.
  - Patent and Licensing.
  - Conduct Consulting and research contracts with external partners.
  - Participate in national and international research competitions.
  - Supervise students' research.
  - Organize conferences, seminars, workshops, etc.,
  - Conduct cooperative joint research in cooperation with public and private institutions. It shall also provide grants for research projects on a university-wide competitive basis in accordance with its policies for internal funding.
- **Community Engagement:**
  - Serving the local community and fulfilling its needs in accordance with certain criteria set by DAU.

- Develop and conduct community engagement activities with students.
- Develop and conduct volunteer activities with students.
- *Other responsibilities:*
  - Faculty members perform tasks related to management and administration in the Department, College or University.
  - Participating in University, colleges and departments councils and committees.
  - Faculty members must accomplish any additional tasks assigned by their heads.

#### Role and Responsibilities of Professional Staff

- The role of professional staff is to fully support faculty members to achieve the goals and objectives of every course that requires practical work or tutorials.
- They are responsible for laboratories, workshops, studios, etc. under the guidance of the faculty and to maintain these in good order.
- They shall contribute to developing the practical skills of students in laboratories, workshops, clinics, and studios (as applicable).
- Professional staff must accomplish any other tasks that could be assigned to them by their supervisors.

To achieve the responsibilities, faculty members and staff professionals should adopt behaviors compatible with DAU's code of ethics such as: transparency, good conduct, fair practice and honesty as well as cooperation esprit.

#### 4. Related Policies/ Documents/ Forms

DAU 4-3 Code of Conduct Policy

#### 5. Document History

| Version | Issue / Rev. Date | Updated Information/ Summary of Changes |
|---------|-------------------|---|
| 1       | 10/2023           | 1 <sup>st</sup> issue of the Policy     |

## DAU 4-11 Faculty Members and Staff Disciplinary Policy

| Policy Code | Policy Name   |                       |                    |
|-------------|---|-----------------------|--------------------|
| DAU 4-11    | Faculty Members and Staff Disciplinary Policy                             |                       |                    |
|             | Responsible Executive   | Current Revision Date | Next Revision Date |
|             | - HR Directorate.<br>- Colleges at DAU.<br>- Administrative units at DAU. | 10/2023               | 10/2027            |

### 1. Policy Purpose

The faculty members and professional staff disciplinary policy aims to:

- ensure that faculties and professional staff follow the highest standards of professional ethics.
- promote academic honesty.
- elaborate acts of misconduct that may result in some disciplinary actions.
- describe the procedure for disciplinary action.

### 2. Policy Scope

It is applied for all DAU academic and administrative staff.

### 3. Policy Statement

Each faculty member and professional staff shall perform all duties assigned to him/her, abide by all laws, regulations, and decisions in force at the University, uphold, in his/her relations with his/her colleagues, students and the community inside and outside the University, the system of values that prevail in the Arab-Islamic society of KSA, and refrain from any activity that can harm the University reputation. Disciplinary actions shall be taken in accordance with the specified policies and procedures. Serious disciplinary violations may even result in termination of the contract after carrying out a thorough investigation and completing the applicable procedure. This procedure will be detailed in the following part.

### 4. Policy Procedure

In case of misconduct or serious violation of the University's rules and regulations, a faculty member may face disciplinary procedure that should be applied fairly regardless of the faculty members and staff's professional positions, nationality, and religion. The Disciplinary Committee is authorized to investigate the incident and decide what is the proper decision regarding this incident.

#### Disciplinary committee membership

- DAU's Vice-Presidents.
- One of DAU's Deans.
- One faculty member with the rank of professor.
- A specialist in Sharia and Law.

#### Faculty members disciplinary

##### A. Procedure for the faculty member disciplinary is presented below:

- The College Dean shall appoint the appropriate interrogator for the faculty member accused of certain academic offenses. Concerning the behavioral offenses, the College Dean refers to "the regulations of protection against inappropriate behavior in the work environment."

- The results of the interrogation shall be submitted in a detailed report containing a definite recommendation to College Dean, who may then pursue any action that he might think appropriate: stop any further proceedings; issue a letter of warning to the accused; or send the case, together with the interrogator's findings and recommendations to the Disciplinary Committee. All transactions in this regard shall be kept strictly confidential and be carried out in accordance with proper legal procedures.
- During investigation the dean may suspend the faculty member who is being investigated from carrying on with his/her duties as a precautionary measure for a maximum of Three months if he believes that it is in the interest of the investigation to do so. The period of suspension may not be extended except by a decision by the Disciplinary Committee.
- Unless the Disciplinary Committee provides otherwise, suspension from duty entails suspension of salaries as of the date on which the decision to suspend is taken.
- If the case under investigation is not referred to the Disciplinary Committee within a Month after the decision to suspend has been issued, the suspension shall be revoked, after which the Disciplinary Committee's decision on the matter shall be enforced.
- The College Dean shall send to the faculty member who is under investigation a detailed report regarding the charges against him/her, together with a copy of the interrogator's findings via registered mail at least Fifteen days before the disciplinary session is to be held.
- The faculty member whose case has been referred to the Disciplinary Committee shall have the right to be informed of the findings, and may defend him/herself, or ask a lawyer or another faculty member to defend him/her in front of the Disciplinary Committee.

#### B. Faculty members Disciplinary measures:

- Disciplinary measures that may be taken against a faculty members include:
  - Warning.
  - Reprimand.
  - Reprimand with a one-year suspension of annual increment, or a reprimand with a one-year suspension of promotion to a higher rank.
  - Reprimand with partial or total suspension of payment of salary for a period not exceeding six months.
  - Termination of contract, but with full rights to salaries and indemnities.
  - Termination of contract with partial or total withholding of salaries and indemnities.
- The Dean may issue the penalties mentioned in (a) and (b) and the faculty members against whom these penalties have been issued may appeal the actions to DAU President within 15 days of being notified. The Dean may form a committee to investigate the violations for which the faculty member has been charged before issuing such penalties.
- The Disciplinary Committee may issue any of the penalties mentioned above. Decisions by the Disciplinary Committee shall be considered final. Grievances against the decisions of the Disciplinary Committee may be directed to DAU President within Two weeks of notification. The President's decision on the matter shall be final and not subject to appeal elsewhere.
- The Committees meeting shall not be considered legal unless Three quarters of the members attend the meeting.
- Decisions are issued with a majority of votes.
- The case under investigation shall not be rendered void if the faculty member being investigated submits his/her resignation.
- The disciplinary measures taken against a faculty member have no bearing on any criminal or civil proceedings connected with the same event that led to them.

#### DAU Employees Disciplinary procedures

Without prejudice to the civil criminal responsibility (when necessary), employees violating the duties stipulated in these by-laws, or breaking the rules while doing their duties, shall be punished according to the disciplinary measures as indicated below:

#### A. Investigator and the investigative Committee:

- An investigator shall be appointed by decision of the line manager to interrogate the employee of certain offenses.
- An investigative committee may call upon whomever it views appropriate to complete procedures and measures regarding the cases forwarded to it.
- The decision to refer an employee to the Disciplinary Committee shall be issued by the line manager, based upon the recommendations of the investigative committee, and shall include a statement of facts, together with supporting documents, and the accusations leveraged against the professional staff.
- The employee shall be informed of the referral decision and the date of the Committee session. The employee may defend him/herself and be heard before an investigative committee and the Disciplinary Committee.

#### B. DAU Employees Disciplinary Committee

- A DAU Employees disciplinary Committee is formed by a decision from HR Director mandated by the CEO, based on the investigative committee recommendation. The Committee will be led by Human Resource Director, or any other member designated by HR Director, with the membership of two employees one of them shall be from the College of Law, and two Head of Departments. The member's grades shall not be less than the grade of the employee presenting before the Committee.
- The Committees meeting shall not be considered legal unless Two Thirds of the members attend the meeting.
- Decisions are issued with a majority of votes.
- The line manager consulted by HR Director may suspend the employee from work, as a precautionary action, if the investigation welfare requires so. This suspension shall not be for more than three months, and this period shall only be extended by a decision from the Disciplinary Committee.

#### C. Employees Disciplinary Penalties

- Disciplinary Penalties imposed on employees, as follows:
  - Warning.
  - Reprimand
  - Reprimand with a one-year suspension of annual increment, or a reprimand with a one-year suspension of promotion to a higher rank.
  - Reprimand with partial or total suspension of payment of salary for a period not exceeding Six months.
  - Termination of contract, but with full rights to salaries and indemnities.
  - Termination of contract with partial or total withholding of salaries and indemnities.
- DAU Employees Disciplinary Committee shall, while deciding on one of the punishments mentioned in the bylaws, observe the proportionality between the punishment and the violation committed. It is also not allowed to impose Two penalties at the same violation.
- Complaints against the decisions of the Disciplinary Committee may be directed to DAU President within Two weeks of notification. The complaint is considered accepted if it is not decided on within 15 days after it is submitted. On the other hand, if the employee does not submit a complaint within the set period, the decision will be considered final.
- Disciplinary action or investigation shall not be valid after the passage of Three years of violation commitment. The same applies to the cases of the demise of the employee or the passage of Three years at the end of his/her services with the university.
- The employee's resignation shall not be a reason for not proceeding in the procedures of disciplinary action. It is prohibited, however, to approve an employee's resignation when he/she is put before the Disciplinary Committee.

#### D. DAU's Employees Disciplinary Actions

- Disciplinary actions imposed on employees will be cancelled by the passage of the following periods:
  - Six months for cases of warning and reprimand.
  - One year for cases of deduction of salary.
  - Two years for cases of deprivation of regular raise and promotion.
- The cancellation will take place by a decision from the Human resource Director at DAU if it is proved by reports that employee's conduct and performance were satisfactory since the date of imposing the penalty. The cancellation of the penalty will revoke it, for future considerations. In this case the employee will be entitled to all due rights and compensations, and the penalty documents will be removed from his/her folder

#### 5. Related Policies/ Documents/ Forms

DAU 4-7 Faculty members Grievance and Appeal Policy  
DAU 4-3 Code of conduct policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 4-12 University Consultancy Services Policy

| Policy Code   | Policy Name                            |                    |  |
|---|--|--------------------|--|
| DAU 4-12  | University Consultancy Services Policy |                    |  |
| Responsible Executive   | Current Revision Date                  | Next Revision Date |  |
| - Center for Entrepreneurship, innovation, and knowledge transfer (CEI&KT).<br>- Dean of colleges<br>- HR Directorate | 10/2023                                | 10/2027            |  |

### 1. Policy Purpose

This policy aims to regulate how university consultancy services are provided.

### 2. Policy Scope:

This policy is applied to all consultancy services.

### 3. Policy Statement

DAU always supports the faculty members to get involved in knowledge sharing activities and services to businesses, governmental organizations, and non-profit governmental and private sectors. This is in accordance with DAU's mission statement as well as future strategies to diversify the income. All faculty members are encouraged to contact reputable individuals/companies/institutions to offer a knowledge transfer service. These consultancy services should be initiated by the faculty members and nominated "Independent faculty member consultancy".

Independent faculty consultancy where the faculty member does not need the use of university name. For special cases in which the faculty consultant requires the use of the university resources additional fees may apply.

Also, these activities can contribute to the Faculty Members' professional development and enhancement of faculty members academic expertise, establishing and maintaining professional contacts, associations, and relationships, and developing opportunities for sponsored research.

Consultancy projects are defined as distinct from activities that form part of research and other conventional academic activities. This Policy does not cover activities funded with the main aim of undertaking research.

Examples of conventional academic activities that are excluded from this Policy:

- Lecturing.
- Research Assessment or Evaluation panel memberships.
- Knowledge Transfer Partnerships (KTP's).
- Teaching Quality Assessment.
- Refereeing and reviewing papers, books or grant applications.
- External Examining
- Credit bearing training projects.

The Center for Entrepreneurship, Innovation and Knowledge Transfer (CEIKT) will provide all the necessary support in this regard. This support shown as follows:

- All faculty members who are employed full time at DAU are eligible to get involved in externally funded research and consultancy assignments.
- It is desired that the project undertaken under these arrangements must have clearly defined and attainable objectives, budgets, and timelines, as well as contingencies for completing the projects even if funding sources have been exhausted. This is a MUST to maintain DAU brand image.

- All consultancy projects will be carried out or supervised by a Lead delegated by DAU for the specific Consultancy Project.
- The project leader should identify which current faculty member of DAU would be a part of the team, alongside additional staff if required, and in what percentage of the project funds and for how long.
- The CEI&KT has the primary responsibility for the administrative oversight of proposals for consultation projects. The CEI&KT shall support applications if they satisfy criteria outlined in the Procedures stated in this Policy.
- Given the sensitive nature of certain projects, faculty members who intend to be involved in consultancy work shall not try to undertake product development consultancy work to avoid potential patent issues and legal implications of the faulty product.
- The maximum allowable number of days for Consultancy activity is Thirty days per financial year, at the discretion and subject to the approval of the college Dean, the CEI&KT and the HR Directorate. In circumstances where Consultancy activity is likely to exceed Thirty days and the activity can be shown to be strategic for the university, then, with the agreement of college Dean, CEI&KT, and the DAU vice dean, permission will be granted for the extra days Consultancy activity.

This policy sets out clear guidelines within which Consultancy activity can be undertaken by university faculties and These guidelines are presented in the following part.

#### 4. Policy Procedure

All proposed consulting activities (while employed by the University) must receive prior review and approval through the appropriate channels (College Dean, CEI&KT, and HR Directorate) to ensure that they present no conflicts of interest and do not diminish the quantity and quality of professional services rendered to the University as part of the faculty member's normal duties and responsibilities.

The authorization required for a Consultancy project and the procedures to be followed are:

- When a Consultancy opportunity is identified by the faculty member the client for a clear statement of requirements (SOR) for the project should be specified.
- The faculty member should discuss the potential benefits, requirements, and opportunities of the project with his/her dean to get his approval.
- A [Consultancy Service.docx](#) form must be completed and approved by the college dean, CEI&KT, HR Directorate and the University Vice President. The details of the Consultancy project should be entered fully on a Consultancy Approval Form.
- If research facilities are to be used to perform the project, the approval of the Consultancy Approval Form by DAU's vice president is an additional requirement.
- After getting the necessary approvals of the Consultancy Approval Form, this form will be sent to the legal department at the university to review a Consultancy Services Agreement with the client.
- The first 25% of gross total external consultancy funds shall be allocated as DAU's cost recovery. The remaining 75% of the total of the externally earned funds shall cover the remuneration of the project lead and team members, administrative support, student workers (if any) and other overheads.
- This agreement should specify the names of faculty members performing the projects, their duties, and their financial rights.

#### 5-Related Policies/ Documents/ Forms

[Consultancy Service.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 4-13 Independent Faculty Member Consultancy Services Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 4-13  | Independent Faculty Member Consultancy Services Policy |                    |  |
| Responsible Executive   | Current Revision Date                                  | Next Revision Date |  |
| - Center for Entrepreneurship, innovation, and knowledge transfer (CEI&KT).<br>- Dean of colleges<br>- HR directorate | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy aims to regulate how independent faculty member consultancy services are provided.

### 2. Policy Scope

This policy is applied to all DAU faculty members.

### 3. Policy Statement

DAU always supports the faculty members to get involved in knowledge sharing activities and services to businesses, governmental organizations, and non-profit governmental and private sectors. This is in accordance with DAU's mission statement as well as future strategies to diversify the income. All faculty members are encouraged to contact reputable individuals/companies/institutions to offer a knowledge transfer service.

Consultancy services should be initiated by the faculty members and nominated "Independent faculty member consultancy". Independent faculty consultancy where the faculty member does not need the use of university name. For special cases in which the faculty consultant requires the use of the university resources additional fees may apply.

### 4. Policy Procedure

All proposed consulting activities (while employed by the University) must receive prior review and approval through the appropriate channels (College Dean, CEI&KT, and HR Directorate) to ensure that they present no conflicts of interest and do not diminish the quantity and quality of professional services rendered to the University as part of the faculty member's normal duties and responsibilities.

The authorization required for a Consultancy project and the procedures to be followed are:

- When a Consultancy opportunity is identified by the faculty member the client for a clear statement of requirements (SOR) for the project should be specified.
- The faculty member should discuss the potential benefits, requirements, and opportunities of the project with his/her dean to get his approval.
- A [Consultancy Service.docx](#) form must be completed and approved by the college dean, CEI&KT, HR Directorate and the University Vice President. The details of the Consultancy project should be entered fully on a Consultancy Approval Form.
- If research facilities are to be used to perform the project, the approval of the Consultancy Approval Form by DAU's vice president is an additional requirement.
- After getting the necessary approvals of the Consultancy Approval Form, this form will be sent to the legal department at the university to review a Consultancy Services Agreement with the client.

- The first 25% of gross total external consultancy funds shall be allocated as DAU's cost recovery. The remaining 75% of the total of the externally earned funds shall cover the remuneration of the project lead and team members, administrative support, student workers (if any) and other overheads.
- This agreement should specify the names of faculty members performing the projects, their duties, and their financial rights.

#### 5-Related Policies/ Documents/ Forms

[Consultancy Service.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-14 Conflict of Interest Policy

| Policy Code           | Policy Name                 |                    |  |
|-----------------------|-----------------------------|--------------------|--|
| DAU 4-14              | Conflict of Interest Policy |                    |  |
| Responsible Executive | Current Revision Date       | Next Revision Date |  |
| - HR Directorate      | 10/2023                     | 10/2027            |  |

### 1. Policy Purpose

This policy outlines guidelines for dealing with conflicts of interest or commitment to ensure that all DAU representatives (leaders, faculty members and administrative staff) conduct themselves in a way that promotes the best interests of the institution. This policy seeks to emphasize the need to disclose conflicts and potential conflicts of interest and commitment, to manage such conflicts and to ensure that the University's interests are not compromised. Hence, it is the responsibility of everyone (i.e.: faculty member, staff member, or any employee acting on behalf of the University) to comply with legal and regulatory requirements associated with the job.

### 2. Policy Scope

All academic and administrative employees and all faculty members of DAU.

### 3. Policy Statement

A conflict of interest (COI) is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity. All employees of DAU community must ensure that no conflict of interest exist, by avoiding actions or engagements that conflict with their position or might impair their ability to make objective and fair decisions when performing their obligations to the institution or its well-being. Unless approved, after consultation, by the proper authority within the University, it is advisable that DAU community members avoid potential conflict of interest and staff members are encouraged to bring to the attention of their direct supervisors or higher management inquiries related to possible conflict of interest for possible action. The interests of DAU must be the priority in all decisions and actions.

The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations, which might be avoided:

- Situations where a financial or other consideration may compromise or appear to compromise their ability to carry out their responsibilities to the University.
- Unauthorized disclosure of any confidential information concerning the intentions of the University regarding investments, property acquisitions, purchasing or contracting for supplies and services.
- Situation where community members place themselves in a position where they could use their professional influence to create benefits for their private interests or to give improper advantage to others.
- Situation where a staff member has a significant interest in, or a consulting arrangement with, a private business.
- Situation where a faculty member undertakes consultancy work without prior approval from the University.
- Situation where a faculty member accepts activities that compete, or have the potential to compete, with DAU in areas that are part of the faculty member's University Responsibilities, without prior approval from the University.
- Situation where a faculty member teaches for another educational, without prior approval from the University.

- Authorize the purchase of equipment, supplies, or services from a source in which they or their family members have a substantial interest.
- Borrows from, or lends money to, individuals representing organizations with which business dealings are conducted.
- Accept advances or other personal payments or gifts or entertainment, from any company or firm or any person acting directly or indirectly for any company or firm which has transactions with DAU.
- Hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the University.
- Have a family member directly supervising another family member.
- DAU Individuals who have duties involving the acquisition, exchange, receipt of gifts, other services, or other assets. All gifts given in support of an institutional mission must be directed through the responsible in DAU.
- The negotiation or formation of contracts or other commitments affecting the assets or interests of the University.
- handling confidential information and results from sponsored research in DAU without permission to hand this information.
- A DAU Member may not review, approve, or administratively control contracts or business relationships between DAU and other business organization, if he/ she has a business or has a Family Member who has a Financial Interest, or when the DAU Member or one of his family Member is an employee of the Business and is directly involved with activities pertaining to the University.

#### 4. Policy Procedure

| Procedure Steps for new employees |   | Responsibility                          |
|-----------------------------------|---|---|
| 1                                 | Provides all new employees with a "Conflict of Interest" agreement form to sign.  | HR Directorate                          |
| 2                                 | Signs agreement and inform HR Directorate and Academic Department Heads/ Director of any external activities or interests (including financial interests) that may give rise to a conflict of interest. | Employee (Faculty member /Staff Member) |
| 3                                 | Revisits agreement with returning employees upon renewal of their contracts.  | HR Directorate                          |

#### Procedures for current DAU'S employees

- The Human Resources Directorate is responsible for investigating, documenting, solving, and taking the proper action regarding conflict-of-interest cases.
- The HRD receives the conflict-of-interest case reports from the college or the unit where the faculty member or the administrative staff has a COI incident.
- The HRD evaluates each case, examines the evidence and circumstances, interviews witnesses, and may call for a hearing of the party or parties involved.
- The findings and recommendations are submitted to the DAU Top Management for appropriate action that may include:
  - Dismissal of the case for lack of evidence.
  - A written warning for low-risk cases.
  - A severe reprimand with a warning for medium-risk cases.
  - Dismissal of the concerned individual in high-risk cases.
  - Dismissal and filing of a criminal case against the concerned individual for high-risk cases that caused the institution considerable financial damage or loss.
- The HRD completes its investigation and decides the proper action regarding the COI case and submits it to the HRD For finalizing and publishing the decisions.
- Top Management in DAU is responsible for filing formal disclosures of the current Conflict of interest issue in DAU even if it is a financial or any other conflict. The disclosure shall be made on a form or in a suitable format and filed with the Legal Affairs.

### 5. Related Policies/ Documents/ Forms

DAU 4-3 Code of conduct policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 4-15 Compensation and Benefits Policy

| Policy Code                | Policy Name                      |                    |  |
|----------------------------|----------------------------------|--------------------|--|
| DAU 4-15                   | Compensation and Benefits Policy |                    |  |
| Responsible Executive      | Current Revision Date            | Next Revision Date |  |
| Human Resource Directorate | 10/2023                          | 10/2027            |  |

### 1. Policy Purpose

This policy sets the guidelines for compensation and benefit rates for faculty and staff members in DAU. It also clarifies the required information to faculty members regarding their rights in terms of compensation benefits provided by the University.

### 2. Policy Scope

This policy is applied to all full-time faculty and staff members, academic support staff and their eligible dependent children.

### 3. Policy Statement

DAU is committed to providing its faculty and staff members with the salary, compensations and benefits outlined in their contracts in addition to health insurance. The faculty members' package includes basic salary, furniture allowance, housing allowance, transportation allowance, and annual air travel tickets (for expatriates). Furthermore, all full-time faculty and staff members are usually entitled to severance pay at the end of their contract (as per labor law).

### 4. Policy Procedure

**Monthly compensation:** Faculty members and staff members are entitled to monthly compensation, which is paid at the end of each calendar month. This monthly compensation includes the basic salary as well as allowances based on the specified scales based on academic rank, experience, and other factors as specified in individual contracts. If a promotion entails salary adjustment, it should be enacted at the time of contract renewal.

#### Visa fees and air tickets:

- DAU shall pay to the faculty member -who was hired overseas- Visa processing fees maximum SR 5,000 after submitting the invoices only once at the beginning of the first year of contract and after the second party's arrival in the Kingdom.
- Faculty members, their spouses, and Two (2) dependent children are entitled to an initial One-way economy class air ticket from their country of citizenship to the KSA on the date of joining DAU.
- DAU shall provide the second (non-Saudi) party and his/her immediate family members (wife/husband and two children for maximum) who are residing with him/her in Saudi Arabia yearly travel tickets on the economy class from the Kingdom of Saudi Arabia to their country of residence during his/her annual leave. No duality of tickets shall be permitted if it is proved, in the case of a married couple, in case one of them had got it from the DAU or any other employer and in the last year of the contract only a return ticket is eligible. DAU shall also provide the second (non-Saudi) party and his family, upon recruitment for the first time, one-way travel tickets to Saudi Arabia as stated above.
- If the University transferred the second party's sponsorship to another employer, the second party's right in getting return tickets will be waved.
- In local contracting the second (non-Saudi) party will be entitled to travel tickets after two years from his/her contract.

- The faculty and staff members shall be entitled to receive in cash 50% of the ticket value if he wishes to travel by land or by sea, subject to the duality rule.

#### Settling in allowance:

- The settling-in allowance shall not be taken into consideration when the end-of-service bonus is paid.
- In the case of married couples: No duality of settling allowance shall be permitted if one spouse receives a settling allowance from any other employer in the Kingdom. If they both are faculty members in DAU only one settling-in allowance shall be paid to the couple jointly. In the case of duality, the faculty and staff members shall be entitled to get the higher allowance applicable.

#### Housing and furnishings loan:

- DAU shall pay one time for overseas faculty members after their arrival to the Kingdom a loan for furnishing that equals the basic salary of one month. Faculty members will pay the loan within two years 50% in the first year and 50% in the second year.
- If the faculty members complete two years in the job, the aforementioned advance payment shall be considered as paid.
- If the faculty and staff members worked less than two years, he/she will be responsible to pay half of the advance loan at the time of dues settlement.
- The furniture advance loan will not be taken into consideration when the end-of-service bonus is paid.
- In case that DAU provides the housing for the faculty member, neither the furniture advance loan nor the housing allowance will be paid by DAU.
- Housing allowance shall be deducted if DAU provides the faculty and staff members with housing. Also, the transport allowance shall be deducted if the faculty and staff members are provided with transport to work.
- No duality of housing allowance shall be permitted if one spouse receives housing allowance from any other employer in the Kingdom. If they both are faculty members in DAU only one settling-in allowance shall be paid to the couple jointly. In the case of duality, the faculty and staff members shall be entitled to get the highest allowance applicable.

#### Termination:

- The faculty and staff members shall be entitled upon termination of the contractual relationship by DAU, through the agreement of the parties or by the expiry of the contract period, a remuneration of fifteen days for each of the first five years and one month for each of the following years. The end of service benefits shall be calculated on the basis of the last wage. The remuneration shall not include the value of travel tickets or any other bonuses or allowances that may be granted by DAU to the faculty members other than as stated in this contract.
- If the termination of the employment relationship is due to the resignation of the faculty member, in this case, one third of the remuneration shall be due after a service of not less than two consecutive years, and not exceeding five years, and two thirds shall be due if the period of service exceeds five consecutive years, full as well as end of service benefits if the service period of ten years or more.
- The female worker shall be entitled to full remuneration if the contract is terminated within six months from the date of her marriage or three months from the date of her baby birth.

#### 5. Related Policies/ Documents/ Forms

Saudi labor law.

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 4-16 Academic leaders, Faculty Members and Administrative Staff Performance Evaluation Policy

| Policy Code  | Policy Name  |                    |  |
|--|--|--------------------|--|
| DAU 4-16   | Academic leaders, Faculty Members and Administrative Staff Performance Evaluation Policy |                    |  |
| Responsible Executive  | Current Revision Date  | Next Revision Date |  |
| - Colleges Deans<br>- Head of the Departments (HoD)<br>- Head of Administrative units<br>- Human Resources Directorate | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy ensures that all DAU employees' performance is evaluated effectively on a regular basis.

### 2. Policy Scope

This policy is applied to all DAU Academic Staff and Administrative employees.

### 3. Policy Statement

The Job Performance Management System is a system which evaluates the performance of university's employees on an annual basis according to a performance evaluation plan. The evaluation aims to achieve the following:

- Developing employees' performance through a periodic evaluation that is consistent with the goals of the university.
- Encouraging individual achievements as well as teamwork.
- Encouraging continuous learning and development, where performance evaluation is a good indicator for identifying training and development needs.
- Helping to stimulate good performance and develop improvement plans for low performance.

### 4. Policy Procedure

#### Performance Management System's Steps

- *Planning:* At this step, heads of academic and administrative units discuss job tasks and duties with their employees and review their evaluation forms to ensure the employee's understanding of evaluation criteria and of how his/her performance will be assessed.
- *Semi-Annual Evaluation:* This step is internal to the academic and administrative units. It aims to diagnose weaknesses found in the employee's performance, and to discuss and agree on the development procedures required to improve performance during the remaining period of performance evaluation.
- *Annual Evaluation:* The results of this step are used as a basis to enhance employees' performance.
- *Analysis of Evaluation Results:* Plans for performance improvement are set.

#### Performance Management Procedures

- Announcing the start of the Performance Management procedure through an official memo or email to all colleges and administrative units informing them about starting the procedure and attaching related evaluation forms.
- Implementing employees' evaluation at the end of the second semester of each academic year.
- The evaluation period covers one academic year.



- Heads of administrative and academic units must perform a semi-annual internal review of performance without formally approving its results (internal, semi-annual evaluation), whose purpose is to assess and inform the employees about their weaknesses; and to agree on an appropriate development plan before final evaluation.
- The person responsible for filling out the evaluation form is the direct head; the form is then approved by the person with the highest authority in the academic/administrative unit. It should be taken into consideration that the evaluated employee must have worked for six months or more under the management of the evaluator; if this is not available, the person responsible for the evaluation will be the one with the highest authority in the unit.
- Evaluation forms are filled out electronically by the direct head. Then they should be printed and approved in a hard copy by the person with the highest authority in the academic/administrative unit. Both a paper copy and an electronic one are sent to Human Resources Directorate.
- After the evaluation is completed, the employee is provided with a copy of his evaluation before being finally approved.
- The employee has the right to object to the evaluation results or discuss them with the evaluator and write notes if any. He/ She can also file a complaint about the evaluation results to the person with the highest authority in his/her academic/administrative unit.
- The person with the highest authority can request a review of the employee's evaluation before finally approving the form.
- Evaluation forms are approved by the person who has the highest authority in the academic/administrative unit.
- The Human Resources Directorate has the right to request available evidence from evaluators, especially those who have high or low evaluation rates.
- Evaluation results are analyzed by Human Resources and are used in the preparation of development and improvement plans at university level.

Note: all Evaluation results analysis is confidential in Human Resource Department only.

#### 5. Related Policies/ Documents/ Forms

- [College Dean Performance Evaluation Form.docx](#)
- [College Vice Dean Performance Evaluation Form.docx](#)
- [Faculty Members Evaluation Form.docx](#)
- [Performance Evaluation form for Administrative Staff.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |

## DAU 4-17 Faculty Members Promotion Policy

| Policy Code  | Policy Name                      |                       |                    |
|--|----------------------------------|-----------------------|--------------------|
| DAU 4-17   | Faculty Members Promotion Policy |                       |                    |
| Responsible Executive  |                                  | Current Revision Date | Next Revision Date |
| <ul style="list-style-type: none"> <li>- Faculty Members</li> <li>- Faculty Members Promotion Committee</li> <li>- Scientific Council</li> </ul> |                                  | 10/2023               | 10/2027            |

### 1. Policy Purpose

This policy shows the rules and regulations for the faculty Members Promotion in DAU.

### 2. Policy Scope

This policy is applied to all DAU Faculty Members.

### 3. Policy Statement

DAU applies the MOE's By-laws based on MOE Council # 4/6/1417.

### 4. Policy Procedure

#### Article One: Based on MOE's Article No. Twenty One (21)

To be promoted from the rank of Assistant Professor to Associate Professor, the following conditions are required:

- The service period in the rank of assistant professor at a Saudi University or other accredited University shall not be less than four years, provided that the service period at the Saudi University shall not be less than one year.
- To meet the minimum research work required for promotion as per MOE's article no. (32) of this regulation.
- This research work must have been published or accredited for publication during the period of filling the post of assistant professor.

#### Article Two – Based on MOE's Article No. Twenty two (22)

To be promoted from the rank of Associate Professor to Professor, the following conditions are required:

- The service period in the rank of associate professor at a Saudi University or other accredited University shall not be less than four years, provided that the service period at the Saudi University shall not be less than one year.
- To meet the minimum research work required for promotion as per the rules of the thirty second article of this regulation.
- That what is submitted including the research work should be published or accepted to be published during the period of filling the post of associate professor.

#### Article Three – Based on MOE's Article No. Twenty three (23)

The faculty member shall have the right to apply to the department council for promotion six months before the completion of the required period.

#### Article Four – Based on MOE's Article No. Twenty four (24)

For promotion, the loan, delegation, and dispatch period will be counted as follow:

- The full period, if the loan, dispatch, or delegation is to academic institution in the field of candidate's specialization.
- Half of the period, if the loan dispatch or delegation is to non-academic institution in the field of candidate's specialization.
- The period will not be counted in case of promotion if the work is not in the same field of his specialization.

#### Article Five – Based on MOE's Article No. Twenty five (25)

The faculty members shall be promoted as per the following criteria: 1- Research work, 2-Teaching, 3-University and Community Service.

#### Article Six – Based on MOE's Article No. Twenty six (26) Promotion Procedures

- The faculty member shall submit the promotion application to the relevant department Council, including the following:
  - The academic qualifications details, employment information and career progression.
  - Teaching activities information.
  - The details of his activity in the field of the University and community service.
  - At least, five copies of the research work submitted for the purpose of promotion as well as the explaining information.
  - Any additional information for the purpose of supporting the promotion application.
  - Any other information or documents required by the department, college, or University's Council.
  - The department council will review and consider the promotion request, ensure meeting the conditions and procedures and recommend escalating it to the college council and propose a minimum of eight referees and specials referees.
- The college council will review and consider the request based on the recommendation of the department council and nominate the number of specialized referees which shall not be less than eight referees from those nominated by the department council or from others.
- The Academic Council shall review the promotion request based on the recommendation of the department and college council, then takes the following steps:
  - Selecting five referees to evaluate the research papers. Such referees should be selected from those nominated by the college council or others. Three of them should be primary referees, the fourth should be the first auxiliary examiner, and the fifth should be the second auxiliary examiner for necessity. At least two of the three referees should be from outside the University.
  - The research and promotion information shall be sent to the referees, to be evaluated, in secret, according to the form prepared by the Academic Council.
  - To take the decision of promoting the faculty member or not. Such decision is taken after reviewing the reports presented by the referees and the reports of activities related to the person nominated for promotion in the fields of teaching and university and community service. In case of receiving more than three reports, the main referees' reports will be considered first, then the reports of the first auxiliary referee, and finally the reports of the second auxiliary referee.
  - Once the Council decides to disapprove the promotion because of the weakness of the research work, it will determine the fate of the submitted research works, the excluded research and what can be resubmitted. Upon resubmission of an applicant for promotion, the candidate must submit at least one research unit for the applicant to associate professor, and two new units – at least – for the rank of professor.

#### Procedures for the Faculty Members Promotion:

- The department Council shall receive the promotion file of the faculty member including the following:
  - The letter of the college dean.
  - The memo of the college dean addressing the Academic Council.
  - Five copies of the published research work or accepted to be published by the acceptance letter.

- Copy of the department council minutes of meeting.
- A Faculty Members Promotion Committee shall do the following:
  - Checking the promotion file to verify the applicability of the conditions and standards of promotion with the applicant.
  - Verifying the acceptance letters and comparing them with the original.
  - Counting and checking the numbers of conducted research by the applicant.
  - Recommending returning the memo and research work file in case of the non- conformance with the terms and standards or in case of not meeting the required searching units.
- The Academic Council shall review the previous committee minutes and form the committee that will exam the research work as per the rules of article NO. Nine based on MOE by-Laws # (29).
- The Academic Council will ask the personnel affairs department to provide it with the information about the applicant from his file, and it will request the detailed reports required to evaluate the applicant performance by the relevant department head and college dean, and also the performance reports for the previous two years before the promotion.
- After receiving the referees' reports and all required information, the Academic Council shall include all documents within the agenda of the nearest meeting of the council.
- After reviewing all documents, the council shall take the decision to approve or disapprove the promotion or assign a referee or likely alternative.
- In case of taking the decision of promotion, the council shall write to the personnel affairs or the applicant reference to execute the council decision.
- In case of taking the decision of disapproving the promotion, the council shall write to the college dean or the applicant reference to inform the applicant of the council decision.

#### Article Seven – Based on MOE’s Article No. Twenty seven (27)

The efforts of the faculty member applying for promotion shall be evaluated based on (100) points divided as follow:

- 60 points for the research work.
- 25 points for teaching.
- 15 points for community service.

The university council shall set the criteria of evaluating the participation in the teaching and the university and community service as per the recommendation of the Academic Council according to the following:

First: The participation of the faculty member in the field of teaching and the university and community service through the information determined in the following channels:

- Two confidential reports requested from the department head and college dean at the time of receiving the promotion were filed to the university council secretariat.
- The information given by the faculty member applying for promotion as a resume within the promotion request.
- Second: The information included in the first paragraph above shall be transferred to points determining the efforts of the faculty member in the fields of teaching and university and community service as follow:
  - Teaching load: the maximum points of 15 points will be determined for this item which shall be given to the faculty member assigned with the maximum teaching units that have been mentioned in article No. (40) of MOE regulation # 4/6/1417.
  - The teaching performance and complying with the curriculum and textbook as well as the matter of improving the subject, in addition to complying with the academic hours; 10 points are determined for this item which shall be evaluated as per the form filled by the department head.
  - The University and Community Service; it is evaluated as per the form filled by the department head and college dean. (5+5) points out of (15) points are determined for this item.
  - Various participations within the field of the University and Community service which shall be evaluated by the Academic Council based on the resume of the applicant. (5) points out of (15) points shall be determined for this item.

- Other participations relating to the assigning of the faculty member by the university under the leadership of a department or college vice-presidency or deanship, etc., which cannot be available for all members at the University. Each participation shall be evaluated by additional supportive points of three points for each. The other participations assigned to the faculty member by the University or the Ministry of higher education and the similar shall be treated the same.
- The minimum points given to the faculty member applying for promotion in the fields of teaching and university and community service shall not be less than 25 points out of 40 points.

#### Article Eight – Based on MOE’s Article No. Twenty eight (28)

The minimum points given to the faculty member for the purpose of being promoted shall not be less than (60) points. In case of promotion to the rank of associate professor, the nominated shall obtain (35) thirty-five points at least in the field of research work. Furthermore, in case of promotion to the rank of professor, the nominated shall obtain (40) forty points at least in the field of research work. The candidate shall be promoted to the rank of associate professor by the majority vote of the three referees. However, for the promotion to the rank of professor, it shall be by the unanimous discussion of the three referees. But in case of the approval of two of them while the disapproval of the third one, the research work shall be sent to a fourth referee whose decision will be final.

#### Article Nine – Based on MOE’s Article No. Twenty nine (29)

The minimum research work required for the purpose of the faculty member promotion shall include the following:

- *The research published or accredited for publication in scientific journals.* The Academic Council shall define the criteria for approving the refereed journals. As for accepting the referred journals, the following standards shall be adopted:
  - The journal shall have editor in chief in the rank of associate professor at least.
  - The academic degree of most of the editorial board shall not be less than associate professor or the similar degree.
  - The journal shall have publication rules which explain how the research is accepted to be published, provided that each research shall be evaluated at least by two referees.
  - The journal should have issued six continuous issues – at least- or it was issuing for two years continuously.
  - The journal should be in the same specialization as the applicant.

Concerning the published or accepted to be published in the academic refereed journals, the research shall be accepted as per the following conditions:

- The research shall be published within the main part of the journal (original Articles).
  - Within the minimum required for promotion, the case reports shall be considered for the relevant medicine and health specializations, with the maximum of 1.5 units for promoting to the rank of associate professor or professor within the minimum required for promotion.
  - Within the minimum required for promotion, the reviewed articles distinguished with clear academic effort including the recommendations accepted by the council shall be considered, provided not to be more than one research unit for each applicant.
  - The short articles shall be accepted if it is structured according to structure followed in the research, as containing abstract, introduction, methodology, analysis, results, and references, provided not to be more than one research unit for each applicant.
  - Letters to the Editors or Book Reviews shall not be considered within the minimum required for promotion.
- *As for the referred research works submitted to the specialized conferences and seminars, if they are published completely or accepted for publication, one unit only shall be accepted.*

Concerning the research accepted to be published in the academic refereed journals, conferences, scientific symposia or research centers, the following standards shall be adopted for the letters of acceptance for publishing:

- The declaration of publication approval shall be printed on the official letterhead of the publishing board.
- The acceptance letter shall be signed by the chief editor of the journal, the chief of the academic committee of conferences and seminars or the research center chief. The council may accept the signature of the authorized person out of the abovementioned persons.
- For the final acceptance, the attested copies or letters sent by fax shall not be accepted.
- The Academic Council shall not accept the primary acceptance letter or any letter with conditions such as making the lingual corrections, etc.
- As for the refereed published research or the research accepted to be published by the specialized university research centers, one unit of those may only be accepted within the minimum required for promotion.
- As for the refereed textbooks and academic references, only one unit of those shall be accepted.
- As for examining the refereed editions of rare books, one unit only of those shall be accepted.
- As for the refereed translation of the specialized academic books, one unit only shall be accepted.
- As for the books and research published by academic boards accepted by the Academic Council and which are subject to referee. One unit only of those shall be accepted.
- Inventions and innovations for which patents were issued from the patent's offices will be accepted by the Academic Council.
- As for the innovative distinguished activity as per the rules approved by the university Council based on the recommendation of the Academic Council, one unit only of those shall be accepted.

#### Article Ten – Based on MOE's Article No. Thirty (30)

What can be published or accepted to be published in the refereed journals within the required minimum of promotion shall not be less than one research unit for the associate professor rank and two units for the professor.

#### Article Eleven – Based on MOE's Article No. Thirty one (31)

The research work submitted by the faculty member to get the promotion shall be published or accepted to be published in more than one publication access, and that all the publication accesses are relating to one university or academic institution only.

- As for the promotion to the rank of associate professor, what is published or accepted to be published in one publication access shall not exceed three units out of the minimum required for promotion, in case of applying by the minimum only.
- As for the promotion to the rank of professor, what is published or accepted to be published in one publication access shall not exceed four units out of the minimum required for promotion, in case of applying by the minimum only.

#### Article Twelve – Based on MOE's Article No. Thirty two (32)

The minimum research work required for promotion to the rank of associate professor is four published or accepted to be published units, two of them at least shall be single work. The University Council, based on the recommendation of the Academic Council, shall have the right to exclude this condition for some specializations, provided that the published output shall not be less than one unit. The minimum research work required for promotion to the rank of associate professor is four published or accepted to be published units. As for the single works, one of the following two modes shall be adopted:

- Two single works, or One single work in addition to two works, in which the applicant is the first researcher, for some specializations that seem to be excluded by the Academic Council based on the authorization from the University Council.

#### Article Thirteen– Based on MOE's Article No. Thirty three (32)

The minimum research work required for promotion to the rank of professor is six published or accepted to be published units. As for the single works, one of the following two modes shall be adopted:

- Three single works, or two single works, in addition to four works, in which the applicant is the first author, for some specializations that seem to be excluded by the Academic Council based on the authorization from the University Council.

#### Article Fourteen – Based on MOE’s Article No. Thirty four (34)

The academic research work shall be considered as one unit if it is entirely done by one individual, and as half unit if it has been done by two authors. If it has more than two authors, it will be considered as half unit for the principal author and quarter unit for other authors. If it is joint work by more than two authors, each one of them will have a quarter unit.

#### Article Fifteen – Based on MOE’s Article No. Thirty five (35)

The research work submitted for the purpose of promotion shall not be taken from the master or Ph.D. dissertation or the researcher’s publications. And in case of proving that by the Academic Council, the applicant will be suspended from promotion for the period of one year, starting from the date of issuing the relevant decision of the Academic Council.

#### Article Sixteen – Based on MOE’s Article No. Thirty six (36)

The referees who are entitled for granting promotion shall be professors. In the case of promotion for associate professor, one of the referees may be an associate professor.

#### Article Seventeen – Based on MOE’s Article No. Thirty seven (37)

The faculty member shall be academically promoted from the date of the decision issuance from the Academic Council. But for the in-position promotion, it will be effective from the date of issuing the executive decision, in case of the availability of the job vacancy.

- The faculty member shall be promoted in position according to the seniority of the Academic Council meetings wherefrom the promotions of the first meeting shall be implemented firstly.
- In case of the issuance of the Academic Council for the academic promotion of a faculty member, and there is not enough vacancies, these faculty members shall be differentiated according to the date of holding the research work examination committee by the Academic Council.
- In case of having the same dates for some of the faculty members, the comparison shall be based on the following criteria:
  - The counted search units.
  - The average scores given by the examiners.
  - The teaching loads.
  - The average scores of the university and community service

#### Calculation

The relative and total balance of the above-mentioned criteria shall be calculated as follow: A- The calculated research units: the research units given while calculating the minimum by the competent authority shall be accepted:

The calculated research units / The minimum output X 100 =-----Points

- The average scores given by the examiners to the applicant are as per what is mentioned in the examination form sent by the examiner. The examiner scores  $1+2+3 / 3 \times 100 = \text{-----Points}$
- The teaching load: the average teaching load for the previous four years shall be calculated as per what is mentioned in the promotion request accepted by department head. The actual average teaching load/the teaching load as per the regulation (Article 40) X 100 =----- Points
- The average scores of the university and community service as per what is mentioned in the reports of the department head and college dean and the scores given by the Academic Council to the applicant: Average scores/15 X 100 =----- Points
- Total Points = A+B+C+D =-----Points
- The Academic Council at the end of each meeting shall list the names of the faculty members promoted two times as per the date of forming the committees, then order them as per the given scores as

mentioned above in case of the same dates Afterwards, it shall notify the personnel affairs department with the in-position promotion.

- In the case of the academic assistant professor who is not in position, the academic period shall be counted within the required period for the promotion to the rank of associate professor.
- In case of the academic associate professor who is not in position, the academic period shall be counted within the required period for the promotion to the rank of professor.

#### General rules for applying this policy

- The rules of articles related to promotion (21 to 37) shall be applied to the non-Saudi contracted employees in the ranks of assistant professor and associate professor.
- Concerning the contracted faculty members loaned from other universities or working with other boards outside the Kingdom, the following procedures shall be adopted at the time of submitting the equity request to equalize their promotion in their boards.
- The Academic Council shall consider the promotion equity request given to the faculty member loaned from the university which includes the following:
  - The letter of the College Dean.
  - The letter of the Head of the Department
  - The form of promotion request after filling it by the faculty member, signed by the competent persons.
  - Copy of the research work as per which the faculty member was promoted.

#### 5. Related Policies/ Documents/Forms

MOE's By-laws based on MOE Council # 4/6/1417.

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change   |
|---------|------------------|--|
| 1       | 6/2017           | 1 <sup>st</sup> issue of the policy  |
| 2       | 10/2023          | Scientific Council in DAU is responsible for the promotion process for the Faculty Members |



## DAU 4-18 Faculty Exchange and Sabbatical Leave policy

| Policy Code                  | Policy Name                                  |                    |  |
|------------------------------|--|--------------------|--|
| DAU 4-18                     | Faculty Exchange and Sabbatical Leave policy |                    |  |
| Responsible Executive        | Current Revision Date                        | Next Revision Date |  |
| -Human Resources Directorate | 10/2023                                      | 10/2027            |  |

### 1. Policy Purpose

This Policy aims to ensure fair and consistent procedures with clear clarification of rules and regulations for DAU's faculty members' sabbatical leave and exchange programs between DAU and other universities.

### 2. Policy Scope

This policy is applied to faculty members who are applicable for sabbatical leave and exchange programs.

### 3. Policy Statement

The faculties exchange and sabbatical leave programs are part of DAU's ongoing drive to expand its network with international partners by supporting the development of collaborative research and teaching processes.

### 4. Policy Procedure

#### Outbound Exchange and Sabbatical Leave programs

- *Eligibility*
  - Full-time faculty member holding a terminal degree.
  - A minimum of two-year service for the faculty exchange program.
  - A minimum of five-year service for the sabbatical program.
  - A minimum of five-year service after the first faculty exchange or sabbatical program.
- *Terms and Conditions*
  - Faculty exchange or sabbatical leave will be supported and encouraged when such exchanges or sabbatical leaves are considered advantageous to both the faculty member and his/her department.
  - Faculty members are granted faculty exchange and sabbatical leave normally for the prime purpose of engaging in research at one of the top 500 ranked institutions in the world as per the latest THE, QS, or Shanghai International University Rankings, and for developing their research skills. Research is the main aim of the faculty exchange and sabbatical leave programs, although the faculty members may be indulged in teaching.
  - The exchange period varies from one to two semesters and is usually expected to be of the same length for both parties. Faculty exchanges normally involve a reciprocal visit to DAU by a faculty member from the international University engaged in the exchange.
  - The sabbatical leave period can be for one or two semesters.
  - The faculty members on exchange or sabbatical leave will be considered in active service to DAU. Still, performance assessments will be sought from the other institution when appropriate.
  - After the final approval of the exchange or sabbatical leave by the University Vice-President, the General Directorate of Scientific Research and Innovation may initiate a faculty exchange or sabbatical leave agreement/s with the host institution at least six weeks before the expected commencement of activities of the faculty member at the host institution. The agreement shall indicate the duration of

stay, application procedures, accommodation and facilities, financial responsibilities, government requirements, and commencement and duration of the contract, in addition to any other clauses that are important to both universities.

- Following the completion of his/her exchange or sabbatical leave period, the faculty member must rejoin DAU for at least one academic year, unless decided otherwise by DAU. Upon failure to do so, Legal Affairs Department will intervene to take appropriate legal action.
- During the exchange or sabbatical leave period, DAU faculty member will continue to receive:
  - Full salary and full benefits from DAU if the exchange or sabbatical leave is for one semester.
  - Half salary and full benefits from DAU if the exchange or sabbatical leave is for two semesters.
  - One return economy class air ticket to the city/country of the host institution.
  - Additional remuneration: If the exchange or sabbatical leave faculty member receives an appointment and additional remuneration in the form of a grant, fellowship, or other sources, he/she must notify DAU, and there may be a reduction for the salary paid for the exchange or sabbatical leave period. However, there must be no conflict between the purpose of the assignment and the activities resulting from other compensation. Furthermore: a) Normal consulting arrangements may be continued as long as they have been approved through normal administrative channels and do not conflict with the spirit and purpose of the assignment. b) Fringe benefits (non-cashable) provided by the host institution may be accepted without reducing DAU's salary.
- A faculty member on exchange or on sabbatical leave will continue to hold the same medical insurance provided by DAU with the same terms and conditions before going on his/her exchange or sabbatical leave. However, it is the full responsibility of the faculty member on exchange or on sabbatical leave to purchase any supplementary insurance (medical and otherwise) required in the country of his exchange or sabbatical leave visit.
- All financial costs will be handled by the faculty member, including but not limited to the cost of accommodation, transportation (except the airline ticket), food and subsistence costs.
- A faculty member on exchange or on sabbatical leave will be subject to the rules and regulations of both Universities.
- The period of any leave without pay shall not be counted as years of credited services for purposes of sabbatical leave applications.
- *Application Procedure*
  - The General Directorate of Scientific Research and Innovation will announce, by the beginning of each Fall Semester, the deadlines for accepting applications for the faculty exchange and sabbatical leave programs for both Fall and Spring semesters in the next academic year.
  - At the time of application, applicants are expected to have established a connection with the host department and identified with them the area(s) of mutual interest they wish to further explore during the exchange or sabbatical leave period. The proposed activities planned during the exchange or sabbatical leave period should be set in accordance with the applicant's research area and the research direction(s) of his/her department. A detailed plan of the applicant's visit must be developed by the applicant and the host department to include all information about the activities to be conducted during the exchange or sabbatical leave period.
  - The following documents should be submitted through the General Directorate of Scientific Research and Innovation by the set deadline:
    - Application form.
    - Updated Curriculum Vitae with publication records.
    - Endorsement form.
    - Approval letter from the Research Ethics Committee REC.
    - Post-visit reports of previous exchanges or sabbatical leaves (If applicable).
    - Invitation letter provided by the host institution clarifying the following:
      - ✓ Name, address, and position of the host.

- ✓ The host involvement in the applicant's visit.
  - ✓ The type of activity the faculty member will be indulged in during his/her stay at the host institution.
  - ✓ The position/title that the faculty member will hold at the host institution.
  - ✓ The intended duration and dates of the exchange or sabbatical leave period.
  - ✓ The logistics support the host institution will provide to the applicant.
  - ✓ Arrangements for remuneration, if any.
- Faculty members, upon applying for sabbatical leave or exchange, must acknowledge in writing their obligation to return to DAU following the leave period and to serve the University for a period not less than one academic year.
- The General Directorate of Scientific Research and Innovation will review the applications and submit them to the Selection Committees.

Note: Incomplete applications will not be considered.

The General Directorate of Scientific Research and Innovation will form a Selection Committee for the faculties exchange and sabbatical leave programs by the beginning of each Fall semester. This committee will oversee the Faculty Exchange program selection procedures for the next academic year according to the criteria defined and disseminated previously.

Note:

- The faculty exchange or sabbatical leave will be granted to no more than one faculty member per college at the same time.
  - Faculty Exchange or sabbatical leave will be granted according to the following principles:
    - ✓ Balance of faculty Exchange and sabbatical leave awarded across Departments within the same College overtime.
    - ✓ Faculty members who have not previously been awarded a Faculty Exchange or Sabbatical leave will be given priority.
    - ✓ If two faculty members are equally qualified, the individual with the longest service record since the date of initial appointment as a faculty member at AU will be given priority.
  - Applications that incorporate early-stage collaborative research projects with the collaborator at the host institution will be given priority.
  - Applications for the same or related purpose research topic to the same host university will be considered on a case-by-case basis and with justification.
  - The Selection Committees make their recommendations to the General Directorate of Scientific Research and Innovation who shall raise this recommendation to the University Vice-President for a final decision.
  - The General Directorate of Scientific Research and Innovation will notify applicants of the results by the set deadline.
  - Within one month of return from the Exchange or Sabbatical Leave, faculty members are required to submit a post-visit report.
- The "Post-Visit Report Form "is available by the General Directorate of Scientific Research and Innovation.
  - The report must be submitted to the Dean of the College for his/her feedback. The Dean of the College shall forward the report to the General Directorate of Scientific Research and Innovation and University Vice-President for further processing.
  - The faculty member should organize an oral presentation to present the outcomes of his/her exchange or sabbatical leave period to the General Directorate of Scientific Research and Innovation.

### Inbound Exchange programs

The term inbound exchange scholar, as used in this document, refers to any scholar who visits DAU for the purposes of conducting research and teaching for a duration of one semester or one academic year.

- **Eligibility**
  - The inbound exchange scholar must provide recognizable benefits to the academic and research community of the host college or research, and in general to DAU.
  - The inbound exchange scholar must be recognized as an international expert in his/her area of teaching or in his/her specialized area of research (e.g., research publications, global ranking of his/her institute, citations of his/her research articles etc.) or already established research collaborations with DAU.
  - The inbound exchange scholar is usually on sabbatical leave and must hold an active appointment with one of the top 300 ranked institutions in the world as per the latest THE, QS, or Shanghai International University Rankings. However, scholars who are not on sabbatical leave and are interested in joining DAU through this program are welcome to apply.
- **Terms and Conditions**
  - DAU will advertise such positions and attract outstanding scholars to join DAU for a semester or two.
  - For the inbound exchange scholar and his/her spouse, the medical health insurance shall be 100% covered by the University. However, it is the full responsibility of the inbound exchange scholar to purchase any additional insurance required during his/her visit.
  - The General Directorate of Scientific Research and Innovation may provide assistance to the inbound exchange scholar in applying for the KSA entry visa and entry clearance.
  - The inbound exchange scholar must accept and follow all applicable rules and regulations of DAU and the KSA.
  - In case of any force majeure, DAU will assist the inbound exchange scholar in returning to his/her place of residence.
  - The visit of the scholar must be during the Fall and Spring semesters only.
  - The financial support provided by DAU includes:
    - An economy class return airfares to the inbound exchange scholar and his spouse between his/her country of residence and DAU. The tickets may be booked, preferably, by the DAU Public Relations & Marketing Department.
    - Accommodation and transportation allowances as per DAU policies and procedures.
    - Monthly salary as per DAU policies and procedures for full-time visiting faculty members.
  - The inbound exchange scholar KSA Visa and residency fees will be 100% covered by DAU.
  - The visit of the scholar must be completed during the same academic year or next semester in which it is approved.
  - The host college or General Director of Scientific Research and Innovation shall provide the basic resources to the inbound exchange scholar.
  - The inbound exchange scholar is subject to the same requirements of professional competence and experience as their full-time counterparts. Furthermore, their employment is for research and teaching specific courses and for a given semester or two and is not a continuing appointment.
  - The General Directorate of Scientific Research and Innovation shall decide on all cases not provided for in this document.
- **Application Procedure**
  - The General Directorate of Scientific Research and Innovation advertises such positions at the beginning of the Fall and Spring semesters.
  - Applicants submit their expression of interest, along with a supporting statement and updated CV to the General Directorate of Scientific Research and Innovation by the deadline.
  - The General Directorate of Scientific Research and Innovation shares the received application documents with the concerned colleges' deans for evaluation.
  - The Research committee of the concerned college reviews all applications and submits its evaluations/recommendations to the Dean who shall raise his/her recommendations to the General

Directorate of Scientific Research and Innovation. The General Director of Scientific Research and Innovation shall make his/her recommendations to the University Vice-President for a final decision.

- The Research committee assesses the eligibility and suitability of such an exchange by considering factors that may include but are not limited to the following:
  - Analysis of the expertise to be shared at campus, [number of intended learners, expertise required in enhancement of research capabilities, experiments, teaching experience, etc.].
  - Non-availability of such expertise on campus.
  - Expected benefits and outcomes of the visit.
  - Availability of courses that can be taught by the inbound exchange scholar.
- The final decision of successful applicants shall be communicated to the College Dean, CEO, HR Directorate, Public Relations & Marketing Office and Finance Department by the General Director of Scientific Research and Innovation.
- The General Director of Scientific Research and Innovation also communicates with the Inbound exchange scholar and invites him/her to join DAU as an inbound exchange scholar. The exchange semester and teaching requirements (if applicable) shall be agreed upon directly between the host college and the candidate.
- The scholar shall submit a post-visit report (within one month of visit) to the General Directorate of Scientific Research and Innovation, including but not limited to the following:
  - A summary and reflections of all the activities during the visit.
  - Gains and experience/outcomes of the visit.
  - Comments and Suggestions.

#### 5. Related Policies/ Documents/Forms

MOE's By-laws based on MOE Council # 4/6/1417.

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-19 Diversity and Inclusivity Policy

| Policy Code                         | Policy Name                      |                    |  |
|-------------------------------------|----------------------------------|--------------------|--|
| DAU 4-19                            | Diversity and Inclusivity Policy |                    |  |
| Responsible Executive               | Current Revision Date            | Next Revision Date |  |
| - Human Resources Directorate (HRD) | 10/2023                          | 10/2027            |  |

### 1. Policy Purpose

DAU is always committed to promoting diversity and inclusivity to all members of its community in compliance with its values and traditions.

### 2. Policy Scope

This policy is applied to all DAU community.

### 3. Policy Statement

- DAU promotes diversity and recognizes its responsibility to foster an open, welcoming environment where multicultural students, faculty members and administrative staff can collaboratively learn, work, serve and engage with the external community. DAU values benefit that arise from cultural diversity which will lead to greater equity, inclusion, and accountability.
- Diversity thrives and increases within DAU community; it acts as a crucial catalyst for institutional success in addition to achieving DAU's mission and core values. DAU is committed to engaging in ongoing efforts to thoughtfully adapt to the changing realities of our increasingly interconnected world. Continuously, DAU endeavors to work together to address the challenges of the future by eliminating barriers to success and promoting a culture of compassion, inclusivity, and mutual respect. The proficiencies gained through diverse experiences prepare students, faculty members, and staff to be global citizens personally and professionally.

### 4. Related Policies/ Documents/ Forms

NA

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-20 Personnel Policy

| Policy Code                   | Policy Name           |                    |  |
|-------------------------------|-----------------------|--------------------|--|
| DAU 4-20                      | Personnel Policy      |                    |  |
| Responsible Executive         | Current Revision Date | Next Revision Date |  |
| - Human Resources Directorate | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy shows:

- How DAU treats all its employees fairly and with integrity.
- DAU's employment records of faculty members and administrative staff are well maintained and updated safely.

### 2. Policy Scope

This policy is applied for faculty members and administrative staff at DAU.

### 3. Policy Statement

#### Fairness and integrity among DAU's employees

DAU ensures fairness and integrity among its employees. In addition to that, it provides a positive and cooperative work environment within DAU. The following practices show how DAU guarantees fairness between its employees.

- Employees' Satisfaction surveys are important indicators for keeping the work environment always positive, surveys are conducted on a regular basis.
- Teaching loads among faculty members are distributed fairly.
- Faculty members in DAU receive numerous and different compensations and benefits.
- Any conflict of interest or misconduct in work shall be solved when it arises.
- DAU employees can appeal and complaints whenever the employee faces any incident.
- When DAU has vacancies the employment process is conducted with transparency through formal communication channels.
- DAU presents different training programs and workshops to improve employees' skills.
- Evaluation processes of faculty members and administrative staff are conducted by the authorized personnel in DAU, the evaluation process is conducted on a regular basis.
- Faculty members promotion in DAU regarding is conducted formally and with high grade of integrity regarding to the MOE's By-laws based on MOE Council # 4/6/1417. Law.

#### Employees records for faculty members and administrative staff

The Human Resources Department at DAU is responsible for proper maintenance of employees' records including those for faculty and administrative staff. Complete records are maintained for each faculty member and administrative staff employed by DAU. These documents may be included original or officially attested documents of ID copy, Iqama copy, original academic certificates, the original signed contract, medical records, a copy of passport and copies of other documents required by DAU and the Ministry of Human Resource and Social Development.

### 4. Policy Procedures

Procedures conducted by HR to keep the employees' records in DAU:

- HR shall create a personal file for each employee in DAU, this file shall contain the previous information and documents mentioned above.
- HR will verify the accuracy of the information and data provided by the faculty members and the administrative staff.
- HR shall always maintain and update the completed records for each faculty member and administrative staff employed by the University.
- HR will ensure the required documents are updated and kept safely according to the rules and regulations of Ministry of Human Resource and Social Development.
- In case of required release of personal information, HR shall ensure that the releasing requests are legal and formal according to DAU 9-4 Students and DAU Employees personal Information Release policy.

#### 5. Related Policies/ Documents/ Forms

DAU 4-1 Faculty Members Workload Policy  
 DAU 4-2 Faculty members and Administrative Staff Professional Development Policy  
 DAU 4-3 Code of Conduct Policy  
 DAU 4-7 Faculty Members and Administrative Staff Grievance and Appeal Policy  
 DAU 4-9 Teaching Staff Employment policy  
 DAU 4-14 Conflict of Interest Policy  
 DAU 4-15 Compensation and Benefits Policy  
 DAU 4-16 Academic leaders, Faculty Members and Administrative Staff Performance Evaluation Policy  
 DAU 4-17 Faculty Members Promotion Policy  
 DAU 4-23 Administrative Staff Employment policy  
 DAU 9-4 Students and DAU Employees personal Information Release policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 4-21 Virtual meeting policy

| Policy Code  | Policy Name            |                    |  |
|--|------------------------|--------------------|--|
| DAU 4-21   | Virtual meeting policy |                    |  |
| Responsible Executive  | Current Revision Date  | Next Revision Date |  |
| - Human Resources Directorate<br>- Information Technology Department | 10/2023                | 10/2027            |  |

### 1. Policy Purpose

This policy aims to formalize the guidelines, rules, and protocols that must be followed during virtual meetings in DAU. This policy applies to all virtual business meetings that include members of the AU Community, whether internal or external stakeholders.

### 2. Policy Scope

This policy is applied to all virtual business meetings that include members of DAU Community.

### 3. Policy Statement

To ensure that virtual meetings are used as an effective tool among various DAU community, all participants must adhere to certain guidelines, protocols, rules, and procedures before, during, and after all virtual meetings.

### 4. Policy Procedures

- *Guidelines for the effective Virtual meeting:*
  - The meeting should be brief and focused on the main points of discussion with effective time management.
  - The meeting should have a clear distributed agenda.
  - Actions, deadlines, and responsible parties should all be specified in the meeting.
  - In case of poor connectivity or other technical issues, the meeting host will decide whether to continue the meeting or postpone it.
  - Minutes of the meeting shall be prepared and kept as an official reference.
  - Virtual meetings can be recorded by the meeting organizer. Meeting Recording keeps a useful reference for official discussions, actions, and deadlines, as well as to allow authorized persons who were unable to attend the meeting.
- *Preparing the meeting:* before the meeting, the organizer will:
  - Invite Attendees to sign up for a calendar event.
  - Provide a link to the meeting through the online meeting platform (Zoom, Microsoft Teams).
  - ID and passcode for the meeting (if required).
  - Clarify the purpose of the meeting and main discussion topics.
- *During the Virtual meeting attendees will:*
  - Follow the official dress code during virtual meetings.
  - Mute their microphones during the meeting unless they are required to speak, answer a question, or start a discussion as outlined in the meeting agenda.
  - Avoid interrupting the speaker through finding an appropriate time to participate in the discussion.
  - Avoid interacting with others, handling other work duties, or making phone calls. If there is an important phone call, the attendee should notify others, preferably through the chat box.
  - Use headsets or earphones if they are in a shared office/workstation area.

- Have the freedom in opening their cameras or not in DAU meetings, if they decided to use the camera, they make sure they have a clean and work-appropriate background with positioning their web cameras at eye level.

#### 5. Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-22 Employee Business Leave Policy

| Policy Code                  | Policy Name                    |                    |  |
|------------------------------|--------------------------------|--------------------|--|
| DAU 4-22                     | Employee Business Leave Policy |                    |  |
| Responsible Executive        | Current Revision Date          | Next Revision Date |  |
| -Human Resources Directorate | 10/2023                        | 10/2027            |  |

### 1. Policy Purpose

This policy governs the rules, regulations and procedures followed in granting, monitoring, and recording employees' business leave.

### 2. Policy Scope

This policy is applied to all DAU's employees.

### 3. Policy Statement

DAU is committed to compensating employees for time spent travelling on official University assignments or missions by providing them with business leave.

### 4. Policy Procedure

- **Eligibility**
  - Employees who are traveling on an official assignment or mission for the University are granted business leave. Business leave requires approval from the Departmental Director/Head and the University Vice-President.
  - Employees must submit an approved Leave Application Form prior to taking business leave. Failure to submit the Leave Application Form will result in the employee's trip being considered an unauthorized absence and appropriate disciplinary action will be taken.
- **Application Procedure**
  - After approval for the business trips, the authorized person in DAU will:
    - Verify the necessity of this business leave and its fitness with the department's/ College leave arrangements and replacements schedule.
    - Verify with HR the details of the Leave Request and check its compliance with the criteria and are within the employee's/ Faculty members roles and responsibilities.
    - Estimate the cost of the Business Leave as following:
      - ✓ For all approved business trips, employees are entitled to tickets (Air-tickets or Train tickets) in economy class. University books and pays the accommodation costs case by case.
      - ✓ Per Diem Allowance inside the Kingdom of Saudi Arabia is 500 Riyals per day including accommodation, transportation, and meals costs.
      - ✓ Per Diem Allowance outside the Kingdom of Saudi Arabia is 1000 Riyals per day including accommodation, transportation, and meals costs.
    - Per Diem Allowance is issued only when approved by CEO and the University Vice-President.
  - After approval from the Executive Director, the cost estimation will be submitted to the Finance Department.

- After the business leave is finished; the Faculty Member/ employee shall submit a “Back to Office Report” not later than Two weeks after returning from the trip and resuming duties. This report includes:

- ✓ Objective of the trip.
- ✓ Duration.
- ✓ Outcome of the activity.
- ✓ Issues or points for future follow-up.

#### 5.Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 4-23 Administrative Staff Employment policy

| Policy Code  | Policy Name                            |                    |  |
|--|--|--------------------|--|
| DAU 4-23   | Administrative Staff Employment policy |                    |  |
| Responsible Executive                                | Current Revision Date                  | Next Revision Date |  |
| - Human Resource Directorate<br>- University Leaders | 10/2023                                | 10/2027            |  |

### 1. Policy Purpose

DAU administrative staff employment policy is designed to ensure fairness, competency, and strong qualifications of newly employed administrative staff. This policy aims to identify the employment process of professional staff to fill all vacant or newly created positions.

### 2. Policy Scope

This policy is applied to all DAU administrative staff.

### 3. Policy Statement

Through this policy DAU attracts talented administrative staff who support academic activities and contribute to the university efficiency and effectiveness. For that, related employment procedure will be detailed as follows:

- Firstly, the employment plans of administrative staff.
- Secondly, the process of employing talented administrative staff.

### 4. Policy Procedure

#### Staffing plan of administrative position:

- Determining the need of Administrative Staff by the department director / University Vice-President.
- Determining the appropriate selection criteria (degree, experience, certificates etc.).
- Preparing the staff request form and obtaining the requested approvals from the CEO.

#### Staffing plan of leading position:

- Academic leading position:
  - The selection of the candidates should be based on the position requirements (degree, experience, personal traits, etc.).
  - Only candidates who meet the job requirements should be nominated.
  - Objectivity must be used for the classification and selection of candidates.
  - The classification report and recommendation should be reported to the Board of Trustees for approval.
  - The HRD should begin the appointment process.
- Consultant position:
  - The consultant services should be need based.
  - Objectivity must be used for the selection of consultants.
  - The appointment process is performed by the HRD.
  - Consultant contracts should specify assignments and reporting procedures.

#### Employment procedures of administrative staff:

To fill the administrative vacant position, the following process must be followed:

- The director of the unit in which the position is located must prepare a written request and obtain the approval of the authorized person.

- DAU HRD makes a first scanning of the collected CVs with reference to job description of the vacant position.
- The selected candidates must be notified for a first interview in a timely manner, either verbally or by email. A first selection for an appropriate candidate is made after this interview.
- A list of preselected candidates is forwarded to the administrative unit in which the position is located to perform a second interview.
- Candidates selected for the second interview must be notified in a timely manner, either verbally or by email,
- Interviews (first and second) must be conducted by the HR director and the director of the corresponding administrative unit using [Job Vacancy Request Form.xlsx](#).
- For all positions, once a candidate passes the interviews, the Human Resources Directorate must carry out a reference check. At least two referees must be contacted.
- After selecting the appropriate administrative employee, DAU HRD starts the appointment process.

#### 5.Related Policies/Documents/ Forms

[Job Vacancy Request Form.xlsx](#).

#### 6. Document History

| Version | Issue / Rev. Date | Updated Information/ summary of Changes |
|---------|-------------------|---|
| 1       | 10/2023           | 1 <sup>st</sup> issue of the policy     |



# DAU 5.0 Students Policies

## DAU 5-1 Postgraduate Admission Policy

| Policy Code   | Policy Name                   |                    |  |
|---|-------------------------------|--------------------|--|
| DAU 5-1   | Postgraduate Admission Policy |                    |  |
| Responsible Executive                                   | Current Revision Date         | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                       | 10/ 2027           |  |

### 1. Policy Purpose

This document sets out the University's policy on admissions to accredited Postgraduate degree programs, and it is applied by the Deanship of Admissions, Registration, and Student Affairs. Admission does not depend on religion, disability, immigration status, gender, or other such considerations.

### 2. Policy Scope

This policy is applied to all students registered in any DAU postgraduate program.

### 3. Policy Statement

DAU has a clear set of admission criteria for postgraduate programs which is consistent with its mission and requirements of the Ministry of Education of the KSA. All postgraduate programs/colleges have specific admission requirements which are available on the website of the university.

The Postgraduate student shall have a bachelor's degree from a Saudi university or from a university recognized by the Ministry of Education in the Kingdom of Saudi Arabia.

The Standing Committee of Postgraduate Studies may apply additional requirements based on the program specialization.

Have two scientific recommendations from the faculties who have taught the applicant previously.

Have approval from the employer if the applicant is working in government or private sector.

Be medically fit.

Meet any other requirements which are determined by the University Council during the admission period.

*Required Documents:*

Original and a stamped copy of bachelor's degree

Certified and stamped copy of official academic transcript along with a stamped copy of course description/s for transferring students.

Copy of Saudi National Card for Saudis, and a copy of Passport or Residence Permit (Iqama) for Non-Saudis.

Two recent photos of applicant.

Copy of medical fitness report.

*Link to program/college specific admission requirements:*

Click [here](#) for admission to any of the DAU Postgraduate programs.

Note: [DAU Postgraduate Completion Requirements.pdf](#) clarifies all the rules and regulations for postgraduate students at DAU.

### 5. Related Policies/ Documents/ Forms

[DAU Postgraduate Completion Requirements.pdf](#)

### 6. Document History

| Version | Issue/ Rev. Date | Update Information/ Summary of Changes |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |



## DAU 5-2 Undergraduate Admission Policy

| Policy Code   | Policy Name                    |                    |  |
|---|--------------------------------|--------------------|--|
| DAU 5-2   | Undergraduate Admission Policy |                    |  |
| Responsible Executive                                   | Current Revision Date          | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                        | 10/2027            |  |

### 1. Policy Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs. Admission does not depend on religion, disability, immigration status, gender or any other considerations.

### 2. Policy Scope

This Policy is applied to all colleges in DAU

### 3. Policy Statement

DAU has a clear set of admission criteria for programs which is consistent with its mission and requirements of the Ministry of Education of the KSA.

Each admission criteria for colleges and programs are published on the DAU website and the academic provided by the Deanship of Admission, Registration and Student Affairs.

#### Admission Requirements for Bachelor (Undergraduate) Programs:

- General Secondary School Certificate (High School Diploma) obtained within the last five years, or its equivalent from inside or outside the Kingdom of Saudi Arabia, provided it is equalized and certified by the Ministry of Education in the Kingdom of Saudi Arabia. The University Council may make an exception for some cases of more than five years, or Diploma Degree or its equivalent, or holds a bachelor's degree in another major.
- The applicant must be medically fit.
- Meeting any other requirements which are determined by the University Council during the admission period.

#### Required Documents:

- Original and a stamped copy of the General Secondary School Certificate (Diploma of High School), Original and a stamped copy of the Diploma Degree or original and a stamped copy of the bachelor's degree in another major.
- Copy of General Aptitude Test (Quadrat Test) result and a copy of Achievement Test (Tahseeli Test) result.
- Certified and stamped copy of official academic transcript along with a stamped copy of course description/s for transferring students.
- Copy of Saudi National Card for Saudis, and a copy of Passport or Residence Permit (Iqama) for Non-Saudis.
- Two recent photos of the applicant.
- Medical fitness report

#### Links to program/college specific admission requirements:

- Click [here](#) for College of Law.
- Click [here](#) for College of Business Administration.
- Click [here](#) for College of Architectural Engineering and Digital Design.
- Click [here](#) for College of Medicine.

- Click [here](#) for College of Dentistry.
- Click [here](#) for College of Pharmacy and Applied Medical Sciences.

#### 4. Related Policies/ Documents/ Forms

[DAU Student Handbook.pdf](#)

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> Issue of the Policy     |

## DAU 5-3 Transfer Admission policy

| Policy Code   | Policy Name               |                    |  |
|---|---------------------------|--------------------|--|
| DAU 5-3   | Transfer Admission policy |                    |  |
| Responsible Executive                                   | Current Revision Date     | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                   | 10/2027            |  |

### 1. Policy Purpose

This Policy sets out the University's procedures for transferring students.

### 2. Policy Scope

This policy is applied to all candidate students who are applying to transfer from other universities / internally from college to college/change major in the same college.

### 3. Policy Statement

DAU accepts transferred students from other universities and institutions if they comply with the transferring requirements. Also, it permits the transferring of students within DAU and departments in the same college if they comply with the requirements.

### 4. Policy Procedures

#### Students Transfer to DAU

DAU accepts students who want to transfer from other universities or colleges, provided they meet the following requirements:

- Transferring from a college or a university recognized by the Ministry of Education in the Kingdom of Saudi Arabia.
- Meeting all admission requirements related to the program.

#### Procedure for Transferring students within DAU

The Procedure of Transfer from One College to Another, or from One Major to Another:

- The student shall apply for transfer from Transfer from One College to Another, or from one major to another via SIS, prior to the end of the first week of the Main Semester (Fall or Spring) and three days of the Summer Semester.
- Both the Deans of the Colleges from and to which the student wants to transfer should approve the student's request.
- The Registration Department at the Deanship of Admission, Registration, and Student Affairs implements the process on the Student Information System SIS for the approved requests.

#### Students Transfer from other Universities to DAU

- The student shall submit an equalization form to the Registration Department at the Deanship of Admission, Registration, and Student Affairs or via Email ([registration@du.edu.sa](mailto:registration@du.edu.sa)) after completing the admission procedures, along with the original academic record and the descriptions of courses attended at the university from which student is transferred, prior to the end of first week of the Main Semester (Fall or Spring) via SIS, prior to the end of first week of the Main Semester (Fall or Spring) and three days of the Summer Semester.

- The Form shall be submitted along with the attached papers to the Dean for Admission and Registration, to refer the same to the corresponding dean.
- The Form shall be referred to the corresponding Department Council (or whom it authorizes), for offering the same before the Department Council for obtaining recommendations related to courses and filling in the form “Courses’ Equation” Form.
- All forms shall be submitted to the College Council (or whom it authorizes), for the purposes of final equalization.
- The approved forms shall be delivered from the College Council (or whom it authorizes) to the Dean of Admission, Registration, and Student Affairs for delivering the same to the Registration Department at the Deanship of Admission, Registration, and Student Affairs, for enrolling the equalized courses in the SIS System.

## 5. Related Policies/ Documents/ Forms

[DAU Student Handbook.pdf](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 5-4 Students of Determination (Students with Special Needs) Policy

| Policy Code   | Policy Name  |                       |                    |
|---|--|-----------------------|--------------------|
| DAU 5-4   | Students of Determination (Students with Special Needs) Policy |                       |                    |
| Responsible Executive   |  | Current Revision Date | Next Revision Date |
| -Deanship of Admission, Registration and Student Affairs<br>- Student Psychological Counseling unit<br>- Student Support Center |  | 10/ 2023              | 10/2027            |

### 1. Policy Purpose

DAU is dedicated to spreading a constructive attitude toward the promotion of equality and diversity, as well as providing work, education, and a social environment that is welcoming to all. Diversity and equal opportunity are the basis of all university activities. DAU is committed to providing a supportive environment where students with special needs or with a disability, referred to as "People of Determination", are encouraged to join the DAU Community and fully participate in its academic experience without barriers or discrimination.

### 2. Policy Scope

"Students of Determination" enrolled at all DAU colleges.

### 3. Policy Statement

DAU offers students of Determination an opportunity for confidential disclosure of personal information. For those who have special needs, the Students Support Center / Counseling Unit assesses and provides the support needed and arranges for it. The type of support may vary among students of Determination. These needs may include, but are not limited to:

- Behavioral, social, or emotional support.
- Sensory - Physical Disability.
- Speech and Language Disorders.
- Communication and Interaction.
- Dyslexia - reading.
- Dysgraphia - writing/spelling.
- Developmental coordination disorder.

The provision of accommodations will be made within the parameters of the following factors:

- The nature of student circumstances and needs following consultation with the student and examination of available evidence and relevant assessments.
- The nature of the academic program of study.
- The practicality of the adjustment, considering disruption, health and safety issues, the reasonable expectations of others, and external factors (for example, factors in relation to student placements). Student accommodations are designed to support students with learning challenges so they can achieve their academic potential.
- The Student's Support Center will be in direct contact with the academic advisor of students of determination to provide the appropriate accommodations plan.

### 4. Related Policies/ Documents/ Forms

DAU 5-12 Psychological and Social Advising Policy

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 5-5 Finance and Discounts Policy

| Policy Code   | Policy Name                  |                       |                    |
|---|------------------------------|-----------------------|--------------------|
| DAU 5-5   | Finance and Discounts Policy |                       |                    |
| Responsible Executive   |                              | Current Revision Date | Next Revision Date |
| - Deanship of Admission, Registration and Student Affairs<br>- Finance Department |                              | 10/2023               | 10/2027            |

### 1. Policy Purpose

This policy is to provide a summary of the fees and funding in DAU. This policy also clarifies the fees of the courses and programs in DAU. One of DAU major tasks is to ensure that the university is financially stable to provide qualified and excellent infrastructure and facilities to its students and employees.

### 2. Policy Scope

DAU applies this policy to all students in all colleges. This Policy is applied to both undergraduate and postgraduate students.

### 3. Policy Statement

DAU 's Student Finance Policy is set to inform students, and parents about the financial rules and regulations implemented by DAU, in addition to the financial responsibilities, associated with admission to graduation processes, withdrawal or dismissal from the University. Students have the right to refund, exemption, or receive scholarships according to clear and well-defined rules and regulations.

### 4. Policy Procedures

#### Admission Fees

- Admission fee: SAR 3000 non-refundable (Bachelor of Laws, Business Administration, Architecture and Digital Design).
- Admission fee: SAR 5000 non-refundable (master's Program in Business and Law).
- Admission fee: SAR 5000 non-refundable (Medical specialties).
- The number of credits a student can register follows the bylaws and degree plans.
- The tuition fee includes all academic services except textbooks.
- The academic hour fee for the bachelor's degree in (business administration, architecture, law, pharmacy and applied medical sciences) = 2450 riyals.
- Fee for the academic hour for the bachelor's degree in the specializations (human medicine and dentistry) = 4000 riyals.
- The academic hour fee for the master's degree in (business administration and law) = 4950 riyals.

#### Refund of tuition fees:

- In the case of withdrawal before the end of the first week, 25% will be deducted from the tuition fees paid.
- Before the end of the second week, 50% will be deducted from the tuition fees paid.
- No refund of the tuition fees paid if requested by the end of the second week.

#### Tuition fees for a scholarship student from the Ministry of Education:

The student has the right to bear tuition fees during the year for the education program, bearing fees that bear tuition fees during the year, provided that the balance shown in his account statement does not exceed the amount

of the scholarship, payment for that on the first of March every year after the completion of registration in the second semester, and this is done during the application To the Financial Department from March 01 to March 15.

### Funding

DAU supports its students through scholarship programs, namely:

- DAU Graduate Scholarship Program.
- Ministry of Education Scholarships Program (Internal Scholarships).
- Ministry of Education grants program for special cases.
- University scholarship program for the children of martyrs.
- The university's partial scholarship program for its new and regular students at a rate of 50% and 20% according to specific regulations.

### 5. Related Policies/ Documents/ Forms

DAU 8-5 Fees collection and refund Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-6 Students' Study Load Policy

| Policy Code   | Policy Name                 |                    |  |
|---|-----------------------------|--------------------|--|
| DAU 5-6   | Students' Study Load Policy |                    |  |
| Responsible Executive                                   | Current Revision Date       | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                     | 10/2027            |  |

### 1. Policy Purpose

This policy defines the student study mode and specifies the study load at DAU.

### 2. Policy Scope

DAU applies this policy to all students in all colleges. This Policy is applied to both Undergraduate and Postgraduate students.

### 3. Policy Statement

#### Study Mode in DAU

DAU follows the face-to-face teaching style and in very specific cases with the approval of the college council can register in different education modes.

#### Study Load in DAU

**Course Load:** A course load is defined as the number of credit-hours for which a student is registered in an Academic Semester or a summer session. Each Program in DAU has its own credit hours which is published in DAU website which will comply with DAU studying rules and regulations regarding the DAU 3-9 Credit Hours Policy.

- The minimum and maximum limit of the student's course load for the bachelor's degree is (12 -20) credit hours per semester.
- The student may take additional hours only once if his GPA is not less than (3:00) to fulfill the graduation requirements.
- As for the summer semester, the maximum level of the student's course load is (9) credit hours and credit hours may be added for the graduation purposes.
- The study duration should not be less than 3 years to get the bachelor's degree.
- The duration spent by the student as an enrolled student to get the first university degree Should not be more than six years.

*The restrictions on the course load are:*

- Students with good standing: The minimum course load limit is 12 credit hours, and the maximum is 20 credit hours. The maximum can be increased in advanced levels and if the student has maintained a minimum cumulative GPA of 3.00 out of 4.00 with the college approval. The minimum course load in a summer session is 1 credit hour and the maximum is 9 credit hours.
- Students on Academic Warning or Probation: The minimum course load in such cases is 12 credit hours; the maximum is 13 credit hours (can be increased to 15 upon department approval) in each Academic Semester and 7 credit hours in a summer session.
- Students in their Last Term before Graduation: The minimum course load at this level is 1 credit hour and the maximum is 20 credit hours during an Academic Semester and 9 in the summer session, provided the student's cumulative GPA is not less than 2.00 out of 4.00.



#### 4. Related Policies/ Documents/ Forms

DAU 3-9 Credit Hour Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-7 Academic Advising Policy

| Policy Code             | Policy Name              |                    |  |
|-------------------------|--------------------------|--------------------|--|
| DAU 5-7                 | Academic Advising Policy |                    |  |
| Responsible Executive   | Current Revision Date    | Next Revision Date |  |
| DAU colleges / Programs | 10/2023                  | 10/2027            |  |

### 1. Policy Purpose

This policy shows DAU student support service through the academic advising procedures to successfully complete the requirements of his or her degree.

### 2. Policy Scope

DAU applies this policy to all students in all Colleges. This Policy is applied to undergraduate and postgraduate students. The main roles and responsibilities of the academic advisor are to:

- Guide students in course selection based on the approved academic plan to successfully gain the academic degree.
- Help them to overcome obstacles and that may be encountered.
- Provide advice on issues that may affect a student's educational process.

### 3. Policy Statement

Academic advisors are responsible for providing academic support and services that promote student learning. Every student at DAU is assigned an academic advisor, and students are required to meet with that individual every semester. Advisors assist students in developing career goals, registering for courses, understanding university policies, and connecting to campus resources. The academic advisor shall keep track of the progression of the student from his acceptance into the university until his/her graduation.

### 4. Policy Procedure

#### General tasks of the academic advisor

- Attending the academic advisor workshop and the announced academic advising hours.
- Being aware of the program study plan, the student's study plan, the study regulations, the test executive rules, the study procedures, and the usage of the SIS system.
- Helping students to understand their academic discipline study plan.
- Helping students to understand the study and exam regulations and executive rules.
- Helping students in the course selection process.
- Helping students with course registration mechanisms on SIS.
- Signing the students' forms related to the university and study affairs in accordance with the regulations and procedures followed by the university.
- Making sure that the student has registered for the courses on the college SIS and keeping a copy of the student's timetable on his file.
- Providing the student with the required courses for registration by recommending to the Head of the department when there is a need to open new courses, sub-courses, or provide alternative courses.
- Adhering to the minimum and maximum number of credit hours according to the university instructions.
- Ensuring that there is no conflict between the dates of the lectures and that there is no registration in courses that have reached the specified number of students.

- The courses of the student transferred from another university, or another specification should not be registered except after the course equivalence by the concerned party.
- Making sure of the students who need to perform the process of dropping or adding courses.
- Informing the student that his cumulative GPA should not be less than (1.00) out of (4.00), helping him to raise his GPA and remove the academic probation guiding the student to the necessity of registering for the courses within his plan to raise his GPA and to remove the academic probation such as registering the courses he/she failed in.

#### The academic advisors will be assessed on to which extent he/she achieved the following:

- Paying attention to the student's academic progress and his performance level in the courses.
- Observing the academic achievement of the student and his progress
- Knowing all the problems that the students face, especially those problems that affect their academic performance, and trying to solve them.
- Encouraging the student to participate in student activities and to communicate with others.
- Notifying the students of activities and how they would benefit from them.
- Informing the student with his responsibilities and duties as for his behavior inside the campus or as for the course's success requirements.
- Being aware of the most important university instructions related to the student and his success in meeting conditions of getting the bachelor's degree in his specialization and conditions and procedures of providing excuses for absence and delay requests, etc.

#### Student Responsibilities to the Advisor:

To achieve the highest benefit from academic advising meetings, students must be informed of the importance of getting prepared for such meetings through the following:

- The student is considered responsible for communicating and meeting their academic advisor regarding academic advising at the beginning of the semester, as well as before the period of early registration, deletion, and addition. It will be the duty of the academic advisor to assist students in preparing the schedule and choosing the appropriate courses according to the study plan.
- The student must review and understand the university regulations, as well as the study plan and all the academic program requirements.
- The student should follow the study plan and get themselves registered on the courses according to the levels specified to ensure that all requirements are completed on time.
- The student should consult the academic advisor and develop an alternative study plan if any circumstance arises (such as failure in a course, withdrawal, postponement, or change of major) to ensure that all graduation requirements are completed.
- The student should make sure to carry out the recommendations of his academic advisor once every two or three weeks as agreed upon.

#### Academic Advising procedure at DAU:

- The Deanship of Admission, Registration and Student Affairs shall send a Student List to each Head of Department at the beginning of each semester.
- Heads of Departments shall assign groups of students to Academic Advisors.
- Academic Advisers shall be familiar with the contents of DAU's Study and Examinations Bylaws (DAU/xxx/xxx).
- The Academic Advisors shall follow the SIS student's file.
- The Academic Advisors shall establish and publish their hours for advising students.
- The Academic Advisors shall ensure that each student obtains a copy of the current Student Handbook.
- The Academic Advisor shall monitor, in consultation with concerned instructors, the performance of his/her advisee throughout the semester and intervene when the need arises (e.g., growing absence percentage, low grades on formative assessments, the likelihood of failing a course, etc.).

- The Academic Advisor shall provide guidance to students on academic matters throughout the semester.
- The Academic Advisor shall seek guidance or decisions from other members of staff or management where this is appropriate or required by DAU's rules.
- Heads of Departments shall monitor the Academic Advisors' performance and report on it.

#### Academic Advising Registration on SIS While registering students, the advisor shall:

- Guide the students on how to register on SIS.
- Check the study plan of an individual student and guide him to register according to the study plan
- Check all the prerequisites of subjects before registering the courses.
- Communicate with students regarding the DN rules and remind them of the DN before the last week of final exams through SIS.
- Guide the students on how to put the various requests through the SIS. (For example – request for Drop Semester, Block removal, add course registration, DN removal, Transfer request, Incomplete exam request, Suspension removal, register without prerequisite, and many more available on the SIS.)

#### 5. Related Policies/ Documents/ Forms

[Academic Advising.pdf](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes  |
|---------|------------------|--|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy  |
| 2       | 10/2023          | -Setting the Student Performance Committee at college level.<br>-Adding the Academic Advisor Assessment Criteria |

## DAU 5-8 Student Disciplinary and Academic Integrity Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 5-8   | Student Disciplinary and Academic Integrity Policy |                    |  |
| Responsible Executive   | Current Revision Date                              | Next Revision Date |  |
| - Student Violations Committee<br>- Deanship of Admission, Registration and Student Affairs | 10/2023  | 10/2027            |  |

### 1. Policy Purpose

This policy ensures that students respect DAU's ethical rules and regulations.

### 2. Policy Scope

DAU applies this policy to all students in DAU colleges.

### 3. Policy Statement

Any violation of university regulations is considered as misconduct and will render the student to a disciplinary action which may range from a verbal warning to dismissal from the University.

### 4. Policy Procedure

A complaint must be filed and sent to the Head of the Student Violation Committee.

*The Chairman of the Committee shall apply the following procedures:*

- Any member of the Committee having a conflict of interest in a case must not participate in the hearing.
- Set a time and place for the hearing in a meeting with the committee.
- Notify the respondent of the complaint and the specific allegation filed in writing.
- The respondent shall receive a written copy of the allegedly violated regulation and the time and place of the hearing through student affairs.
- The Committee shall meet at scheduled times as required regarding the caseload.
- Closed meeting between the committee members.
- The complaint, the respondent, and the members of the Committee have the right to cross-examine witnesses.
- All evidence offered must be relevant, not privileged, and legally acquired.
- If the respondent fails to notify the Head of the Committee of his/her inability to attend the scheduled hearing meeting, the Committee will hear the case in the respondent's absence.
- In closed session, the Committee, after due deliberation will decide whether, by clear and convincing evidence, the respondent has or has not in violated the code as charged.
- After deliberating, the Committee will determine the appropriate action.

*Cheating, Or Attempting to Cheat:*

- Cheating is an act of dishonesty and faculty members and students must maintain trust and honesty to ensure and protect the integrity of grades.
- All academic work or requirements assigned to a student must be carried out by him/her without any unauthorized aid.
- Instructors must exercise due professional care in the supervision and verification of academic work so that honest effort on the part of the students will be positively encouraged.

- If any instance of dishonesty by a student in homework assignments or any other requirements of the course (other than mid-term and final exams assessments) is discovered by the instructor, it is his/her responsibility to take appropriate action. Based on his/her judgment of each case, he should, for instance, give a zero grade for that assignment or homework and notify the student officially of his/her decision.
- A student has the right to appeal within one week of notification of a disciplinary decision.
- For the mid-term and final exams, A course instructor or a supervisor of a course examination who discovers that a student is cheating or attempting to cheat should submit a report containing his/her description of the case to the examination committee.
- The head of the examination committee collects all cases and submits them to the Academic Disciplinary Committee for review and investigation.
- Based on the Student Disciplinary Rules judgment, the student has the right to appeal within 30 days of notification of a disciplinary decision.

#### 5. Related Policies/ Documents/ Forms

[Students Ethical Rules and Regulations in DAU.pdf](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 5-9 Student Complaints/Appeals Policy

| Policy Code           | Policy Name                       |                    |  |
|-----------------------|-----------------------------------|--------------------|--|
| DAU 5-9               | Student Complaints/Appeals Policy |                    |  |
| Responsible Executive | Current Revision Date             | Next Revision Date |  |
| DAU Colleges          | 10/2023                           | 10/2027            |  |

### 1. Policy Purpose

To ensure that student complaints/appeals are dealt with in a consistent and effective manner.

### 2. Policy Scope

DAU applies this policy to all students in DAU colleges, both undergraduate and postgraduate students.

### 3. Policy Statement

This policy is related to the DAU student's dissatisfaction with the standard of service provided by or on behalf of the DAU. In addition to students' right to appeal any of the Academic Disciplinary Committee decisions.

### 4. Policy Procedure

#### The Student Complaint Procedures:

- The student shall initiate the ([Student Complaint Form.docx](#)) and forward it to the Academic Advisor.
- The Academic Advisor shall acknowledge receipt of the Student Complaint and attempt to resolve it internally.
- If the complaint is resolved internally, the Academic Advisor shall complete the form and return it to the student. A copy shall be sent to the Student Affairs Office. Deanship of Admission, Registration, and Students Affairs.
- Complaints that cannot be resolved internally shall be sent to the Head of Department (HoD), who shall assign them to a competent member of staff for resolution.
- The person responsible shall investigate the complaint and complete the Student Complaint form then return it to the HoD.
- If the complaint is solved, the form will be completed and submitted to the HoD. The HoDs will approve the response and forward it to the Dean or his/her nominee.
- The Dean, or his nominee, shall return the Student Complaint to the student with a copy to the Deanship of Admission, Registration, and Student Affairs (if needed).

#### Appeals Against Disciplinary Action

- Students who want to appeal against sanctions imposed through DAU's disciplinary process shall initiate the Student Complaint Form ([Student Complaint Form.docx](#)) and forward it to the College Vice Dean.
- The Vice Dean shall forward the form to the Deanship of Admission, Registration, and Student Affairs with a copy to the College Dean.
- The Dean of Admission, Registration, and Student Affairs shall chair an ad-hoc committee consisting of the College Vice Dean and other relevant members of staff.
- The student may attend the meeting of this committee and/or be represented by a nominated (in writing) person.
- In all instances the outcome of the appeal shall be communicated to the student.

## 5. Related Policies/ Documents/ Forms

[Student Complaint Form.docx](#)

DAU 5-11 Students Rights and Responsibilities Policy

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy     |
| 2       | 10/2023          | A comprehensive change in the policy    |



## DAU 5-10 DAU Alumni Policy

| Policy Code                                       | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 5-10  | DAU Alumni Policy     |                    |  |
| Responsible Executive                             | Current Revision Date | Next Revision Date |  |
| Alumni Affairs and Career Guidance Center (AFCGC) | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to provide a clear framework for connecting DAU Alumni to the University. In addition, it ensures the AFCGC's role in keeping, managing, and maintaining the Alumni information. It Clarifies the role of the AFCGC in Alumni communications and engagement activities on behalf of the University.

### 2. Policy Scope

This policy applies to all DAU Alumni.

### 3. Policy Statement

DAU understands that its alumni make the best ambassadors of the institution. As a result, the university is dedicated to fostering their continuous development, acknowledging their accomplishments, and enhancing their ties to the DAU through a variety of channels, including as advocates, returning students, employees, volunteers, and mentors. The University is dedicated to fostering enduring ties with its alumni through the ethical management of their personal information.

#### *Alumni Affairs and Career Guidance Center:*

This Center will be responsible for coordinating university-wide activities related to the Alumni this may include:

- Establishing an efficient communication system between DAU and its Alumni and Inviting graduates to participate in the activities organized by the university and opening continuous channels of communication to involve them and seek their opinions on development proposals in the university's programs
- Preparing a plan for professional guidance at the university level.
- Holding events to guide graduate students professionally with the aim of preparing them for the labor market and enhancing their skills in searching for job opportunities.
- Organizing events and training programs for faculty members to enhance their skills in providing professional guidance to graduate students and those expected to graduate.
- Organizing the "Career Day" event annually in coordination with the relevant authorities inside and outside the university.
- Communicating with employment agencies to follow up on new developments regarding the professional and personal skills required of the graduate to be qualified for the labor market, and completing what is necessary to make the learning processes at the university take this into account.
- Holding annual forums for graduates and organizing training programs and courses for them that develop their skills according to the latest developments in the requirements of the labor market and provide them with new information in their fields of specialization.
- Creating a portal for graduates on the university's website.
- Building a database of university graduates and updating it on an ongoing basis, which includes their contact information, their places of work, and other personal and professional information.

- Working to activate cooperative training at the university as an entry point for employing students by signing training agreements with entities that suit their specializations and career aspirations. Different workshops for DAU alumni with HADAF are conducted in DAU to raise the skills of DAU Alumni.
- Communicating with employers through various possible channels to introduce the university's programs and specializations.
- Organizing forums and events to which leaders in the business sector are invited to provide advice and guidance to students about the labor market and the requirements for professional success.
- Coordinating with the Center for Entrepreneurship, Innovation and Knowledge Transfer to encourage and support graduates and those expected to graduate to start entrepreneurial projects.

#### 4. Related Policies/ Documents/ Forms

DAU 5-19 Student Career Counselling Policy

#### 5. Document History

| Version | Issue/Rev. Date | Updated Information/ Summary of Changes  |
|---------|-----------------|--|
| 1       | 2017            | 1 <sup>st</sup> issue of the policy  |
| 2       | 10/ 2023        | The Alumni Affairs and Career Guidance center roles and responsibilities are added |

## DAU 5-11 Students Rights and Responsibilities Policy

| Policy Code   | Policy Name                                |                    |  |
|---|--|--------------------|--|
| DAU 5-11  | Student Rights and Responsibilities Policy |                    |  |
| Responsible Executive                                   | Current Revision Date                      | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                                    | 10/2027            |  |

### 1. Policy Purpose

Students at DAU have the right to an environment that promotes learning and fair treatment in all facets of staff-student interaction. Regardless of a student's race, country of origin, gender, age, or religious beliefs, DAU provides the same caliber of training. The University promotes freedom of thought and speech within the accepted bounds of Islam. Students at DAU have fundamental educational rights intended to maximize the realization of teaching and learning. Thus, this policy makes clear the rights and responsibilities of students at DAU.

### 2. Policy Scope

DAU applies this policy to all students in all colleges and programs.

### 3. Policy Statement

#### Students' rights

DAU Students have several rights either in academic or non-academic areas.

- *Student's Rights in the academic area, students will ensure having their rights in the academic area by:*
  - Providing an appropriate academic environment to DAU students by providing all available educational possibilities to serve this objective.
  - Obtaining his/ her ID at the beginning of the academic year.
  - Having an academic advisor from the beginning of the year.
  - Knowing how to access the Digital Library and the Central Library in DAU, as they shall be opened and organized for the students.
  - Obtaining the study plans of the college or department and the specializations available, to be able to review the study schedules before starting the study.
  - Obtaining the scientific material and knowledge associated with university courses he/she learns in accordance with the University rules and regulations governing academic work.
  - Omitting or adding any course or semester or postponing the entire semester according to the Saudi Ministry of Education (MOHE) and the University study system and regulations on the specified dates according to the University calendar.
  - Obligating the staff with lecture dates, times, and satisfying scientific and practical hours and not to cancel or change lecture times unless necessary. When a Faculty Member is absent, there is an offset by alternative lectures to meet the curriculum and coordination with the competent section.
  - Regular communication with the faculty members through different tools such as e-mails and office hours.
  - Requesting a scientific discussion with faculty members, without censorship or punishment, unless the debate hasn't exceeded public manners and the limits of decency and behavior in such cases, both during the lecture or during official hours.
  - Entering all the exams for the curriculum unless there is a regulatory objection, communicate deprivation cases from entering exams by enough time according to regulations and instructions.

- Ensuring that Exams and questions shall be within the curriculum and their contents, issues raised or referenced in the lectures, consider the balanced and rational distribution of grades to achieve fair assessment of the capabilities of the student.
  - Ensuring that the Evaluation must be based on academic performance only and not on matters irrelevant to that like personality, race, religion, degree of political activism, or personal beliefs.
  - knowing his marks obtained in the Final Exams after correction and approval and any other assessment and research.
  - Requesting for review of his/her answer to the final exams as established by the regulations and resolutions issued by the University in organizing review mechanisms and controls.
- *Students have the following Rights in the Non-Academic area:*
    - Enjoying the benefits and social care of the University and participating in the activities performed.
    - participating in external and internal trips, cultural activities, community service, and voluntary work within DAU.
    - Using University services and facilities (University books – playgrounds – restaurants - parking ... And others).
    - Visiting DAU clinic at any time when they face any unexpected health issue within DAU. Required and suitable medicines are available in the Clinic.
    - Students with Disabilities have the right to obtain the appropriate service for his/her needs in accordance with the regulations and rules.
    - Grievance from disciplinary resolution issued against him/her in accordance with the rules established in this regard under the terms of disciplining students, and not to issue a ruling against him except after hearing his/her statements, unless it is proven that his/her non-attendance was for an unacceptable excuse, after verifying it.
    - Assessing the students' services presented through different surveys.
    - Maintaining the students' records and his/ her file contents and keeping the confidentiality of these records within the University except for cases seeking to consign the contents of that file or accessed by the investigatory or judicial or other governmental body.

### Students' responsibilities in DAU

DAU Students have different responsibilities either in academic or non-academic areas.

- *Students' Academic responsibilities, DAU students shall:*
  - Be familiar with all DAU's students' bylaws, policies, and procedures and Follow all University rules and regulations.
  - Attend lectures consistently and complete assignments, students are permitted for absence by accepted excuses.
  - Complying with DAU rules and regulations - Each student is responsible for the consequences that follow the discovery that he/she used falsified document(s) for his/her admission or during his/her studies at the University.
  - Respect all DAU's faculty members and employees and do not insult them verbally or physically and maintain a safe and orderly University educational environment.
  - Complying with the scientific research ethics and code of conduct.
  - Not to engage in any behavior that is inconsistent with religion and morals and affects the academic and professional status and social responsibilities of the student.
  - Commitment to implementation of the imposed penalty in the event of a violation of the university's rules and regulations.
  - Ensure that his his/her official email address approved by the university is working properly and follow up daily to see what is sent to him/her.
  - Each student is responsible for the selection of his courses after consultation with his/her academic advisor.

- Each student is responsible for checking that registered courses were not canceled during the Add/Drop period by the College.
- *Students' Non-Academic responsibilities, DAU students shall:*
  - Carrying the university ID card while at the university and presenting it to employees or faculty members upon request and upon completion of any student transaction within the university.
  - Not damage the university's property or equipment, or to prevent it from working, or participate in that.
  - Comply with DAU's dress code and not commit any actions that violate Islamic morals or public morals within the university.
  - Commitment to the university's systems, rules, regulations, instructions, and decisions issued in DAU.
  - Do Not smoke on the DAU campus avoid any irresponsible actions in DAU and avoid crowds and stampedes in DAU.
  - Not owning or distributing any materials that violate university or the Kingdom rules and regulations.
  - Comply with the safety rules and regulations within DAU.
- *Students' responsibilities in the Exams, DAU students shall:*
  - Check exam timetables and be present at the exam venue 30 minutes ahead of time.
  - Understand that he/she will get a grade of zero if an exam is missed without an acceptable excuse.
  - Come prepared for his/her exams with proper stationery and writing equipment (pens, etc.)
  - Not Enter the exam room without showing University ID
  - Do not Enter the exam room prior to invigilators doing so.
  - Do not Leave the exam room within half an hour of starting the test, or before attendance has been taken.
  - Do not Use cell phones in the exam room.
  - Not Enter the final exam in a course in which he/she has been served a Denial (DN).

#### 4. Related Policies/ Documents/ Forms

DAU 5-9 Student Academic Appeal, Grievance and student complain Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes  |
|---------|------------------|--|
| 1       | 2017             | 1 <sup>st</sup> issue of the policy  |
| 2       | 10/2023          | Some new students' academic and non- academic rights and responsibilities are added. |

## DAU 5-12 Psychological and Social Advising Policy

| Policy Code   | Policy Name                              |                    |  |
|---|--|--------------------|--|
| DAU 5-12  | Psychological and Social Advising Policy |                    |  |
| Responsible Executive   | Current Revision Date                    | Next Revision Date |  |
| -Student Support Center<br>-Deanship of Admission, Registration and Student Affairs | 10/ 2023                                 | 10/2027            |  |

### 1. Policy Purpose

This policy's primary goal is to outline the university's dedication to providing students with psychological and social counseling. It looks out for the social welfare of the students and guarantees adherence to all relevant legislation.

### 2. Policy Scope

DAU applies this policy for all students in all colleges.

### 3. Policy Statement

#### Psychological and Social Advising office

When academic difficulties that are related to personal issues appear, Students are often referred by a faculty member to this office. These Counselling visits must be confidential with professional and responsible advisors. Some common Social and Psychological issues that students may deal with in the Advising Meetings:

- Decision making
- Procrastination
- Communication difficulties
- Self-esteem
- Interpersonal conflicts
- Stress management
- Personal relationships
- Physical/emotional abuse
- Anxiety
- Depression
- Other areas of personal concern may also be explored in the counseling meeting

#### Services provided by the Psychological and Social Advising Office

- Preparing awareness-raising programs and implementing plans to help students to enhance and develop their personalities and skills.
- Amend some of the incorrect behaviors of students through rehabilitation and therapy sessions.
- Establish a flagging and tracking system for the students with low GPA, low academic progress, high absenteeism because of the psychological problems they face.
- If the student needs additional assistance the student can be referred to psychiatric evaluations.

#### Psychological and Social Advising Office ensure the following:

- *Confidentiality*: To maintain feelings of trust and safety, student-counseling visits are considered confidential.

- *Auxiliary Provision* : A student who encounters difficulties during their studies may apply to the Student Advising Center for individual treatment.
- *Appointment availability*: Currently enrolled students at DAU may contact or visit the Student Advising Center to schedule an appointment.

Note: In case of student who has hard, and specific psychological case DAU contact a professional Psychological Medical Center in which students can be counseled.

#### 4. Related Policies/ Documents/ Forms

DAU 5-18 Student Support Center Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-13 Student Wellbeing, Safeguarding and Safety Policy

| Policy Code   | Policy Name                                       |                    |  |
|---|---|--------------------|--|
| DAU 5-13  | Student Wellbeing, Safeguarding and Safety Policy |                    |  |
| Responsible Executive   | Current Revision Date                             | Next Revision Date |  |
| -Deanship of Admission, Registration and Student Affairs<br>-Safety and Security<br>-Student support center | 10/2023   | 10/2027            |  |

### 1. Policy Purpose

This policy reflects DAU's high commitment to a safe and supportive campus for the students and to ensure its readiness to deal with bullying, cyberbullying Criminal actions, and domestic abuse. Also, it aims to ensure that no DAU student is subject to bullying, cyberbullying, and criminal activities.

### 2. Policy Scope

DAU applies this policy for all students in all colleges for both postgraduate and undergraduate students.

### 3. Policy Statement

DAU provides a safe environment for all students and enables them to raise their concerns if they do not feel safe. The students should be secured from many acts like:

#### Bullying

- It is prohibited to encourage or to be involved in any act individually or in conjunction with a group in bullying students.
- Students have a right to complain in case of bullying.
- The Dean examines the complaints then if the case is not solved, the dean reports to the Student Grievance Committee.
- Complaints must be reported to the Dean of the Admission, Registration and Student Affairs Deanship.
- The Dean examines the complaints then reports them to the Legal Advisor with sufficient details.
- The Legal Advisor reports the complaints to the or the authority concerned.
- The Chancellor will advise the Student Disciplinary Committee to investigate the matter.

#### Cyberbullying

- It is a form of bullying or harassment using electronic means.
- DAU will not tolerate lewd, stalking, harassing, bullying or otherwise intimidating others using any information technology device, computers, social media, or social networking websites.
- Students have a right to complain if they are treated in a manner that they believe constitutes cyberbullying.

#### Criminal activity

- An act that can cause serious physical, mental, or psychological harm or injury and is committed in violation of a law.
- DAU prohibits any behaviors that constitute or encourage criminal activities that might include:
- Acting in a way that can inflict physical, mental, or psychological harm upon any other person.



- Making acts of extortion or threat of criminal nature or wearing jewelry or clothes associated with these actions or using verbal speech.
- Committing any other illegal act or other violation of DAU's policies.

#### Domestic Abuse

- DAU refuses domestic abuse in all forms. DAU is committed to dealing with any such disclosure in a supportive and confidential manner.

#### 4. Related Policies/ Documents/ Forms

DAU 5-15 Raising Concerns of Students Safety Policy

DAU 5-18 Student Support Center Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-14 Athletic Students Classes Attendance Policy

| Policy Code   | Policy Name                                 |                    |  |
|---|---|--------------------|--|
| DAU 5-14  | Athletic Students Classes Attendance Policy |                    |  |
| Responsible Executive                                   | Current Revision Date                       | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                                     | 10/2027            |  |

### 1. Policy Purpose

This policy clarifies how DAU Supports Athletic Students in achieving the equilibrium among the student's academic, athletic, and personal growth.

### 2. Policy Scope

DAU applies this policy for all Athletic students in all colleges for both postgraduate and undergraduate students.

### 3. Policy Statement

Athletic Students are expected to attend all scheduled classes. If there is a scheduled intercollegiate sports competition that conflicts with classes , students can ask for an excuse from the instructor. However, Students should try to schedule classes that limit the number of classes missed due to scheduled intercollegiate sports competitions and associated travel.

DAU encourages Athletic Students to participate in sports activities, DAU organizes sports events and coaches the various students' teams in competitions, by:

- Forming University sports teams and arranging regular training sessions.
- Participating with universities and colleges from across the KSA in championships and sporting competitions organized between universities.
- Ensuring that the University sports facilities and equipment are up to date.
- Ensuring that safety standards are applied.

The student is responsible for informing the instructor about his/ her athletic championships, so the instructor would change times and dates of specific issues for this student. If a student has provided an official excuse letter in a timely manner, instructor should not punish the student for the absence in lectures or in assignments. Classes should not be missed for athletic practice, athletic meetings, or other non-competitive reasons. Intercollegiate sports competitions are not permitted on days when Final Exams are scheduled.

### 4. Policy Procedure

The following procedure clarifies dealing with Athletic Students:

- The student must consult with his/her instructors and coaches in advance to eliminate as many conflicts between classes and intercollegiate sports competitions as possible.
- Students should request an official excuse letter from the Deanship of Admission, Registration and Student Affairs when intercollegiate sports competitions conflict with their classes and submit the letter to the instructors prior to the champions occurring

### 5. Related Policies/ Documents/ Forms

NA

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-15 Raising Concerns of Students Safety Policy

| Policy Code   | Policy Name                                |                       |                    |
|---|--|-----------------------|--------------------|
| DAU 5-15  | Raising Concerns of Students Safety Policy |                       |                    |
| Responsible Executive   |  | Current Revision Date | Next Revision Date |
| - Safety and security Department<br>- Risk Management Committee |  | 10/ 2023              | 10/2027            |

### 1. Policy Purpose

This policy ensures the commitment of DAU to provide a safe environment to all its students and to enable them to raise their concerns if they do not feel safe.

### 2. Policy Scope

DAU applies this policy for all students in all colleges for both postgraduate and undergraduate students and all DAU community.

### 3. Policy Statement

DAU guarantees a physically safe environment and non-hazardous environment especially in clinics and laboratories for all DAU'S Community (students, faculty members, and employees) by setting clear and proper requirements and regulations for the Guarding agencies to ensure the safety of its campus. Also, DAU spread the culture of protecting the environment by adhering to environmental health and safety precautions to avoid injuries, illnesses, and environmental harm.

All DAU students are responsible for:

- Adhering to all University safety policies and procedures and complying with safety requirements.
- Adhering to the safety policies and procedures and complying with safety requirements issued by their individual supervisors in laboratories and classes.
- Complying with the applicable provisions of health and safety standards and regulations issued by regulatory agencies.
- Attending the required and suitable training related to health and safety.
- Raising concerns and any questions related to their safety to the responsible department in DAU.
- Reporting any Laboratory incidents to the laboratory supervisor who will forward this concern to the Risk Management Committee for further investigation. After investigation suitable corrective and preventive actions shall be developed and implemented.
- Reporting fire emergencies, and any Physical security threats (e.g. theft, burglary, vandalism, terrorism, natural disasters, and assault) to the responsible person.

### 4. Related Policies/ Documents/ Forms

DAU 5-13 Student Wellbeing, Safeguarding and Safety Policy

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-16 Student Academic Records Policy

| Policy Code  | Policy Name                     |                    |  |
|--|---------------------------------|--------------------|--|
| DAU 5-16   | Student Academic Records Policy |                    |  |
| Responsible Executive                                | Current Revision Date           | Next Revision Date |  |
| Dean of Admissions, Registration and Student Affairs | 10/2023                         | 10/2027            |  |

### 1. Policy Purpose

DAU ensures the confidentiality of the student's educational records. This policy governs the disclosure of the student's educational information and records. DAU permits the students to inspect and review their educational records. In the case of releasing the educational records to a third Party, the circumstances must be clarified to the student.

### 2. Policy Scope

This policy is applied to all educational records for both postgraduate and undergraduate students.

### 3. Policy Statement

DAU secures the confidentiality of the student's educational records, all student information and associated financial records are considered confidential. Students' University records are established and maintained for administrative purposes. All the records are maintained in a database without deleting any part of them. They are used for preparing various reports and providing statistical data the University needs.

All students' academic information is confidential, and nobody is authorized to check them except the internal stakeholders concerned. A backup copy is kept periodically to ensure the reliability of data retrieval and recovery. Access to these records by other individuals requires the student's explicit written permission. A permanent record, reflecting academic achievement, is maintained in the Office of the Registrar for each student who registers at the university. University officials (Staff Members, Board of Trustees members, third party organization) are determined to have permission to access the student's educational information. If this information requested is necessary for that official to perform a task that is related to their normally assigned job functions. If the student has a scholarship in any external party that requires access to the academic records, the student gives permission to this party to access his academic records, and the university will disclose his/her permanent academic records.

### DAU Responsibilities towards students' academic information

DAU has the following Responsibilities toward students' academic information:

- *Academic Student Records*
  - DAU creates and maintains an electronic academic record for each student who is admitted to the University. This record shall be created at the time of admission and shall be maintained throughout the student's enrollment as the official record of the student's academic activities, transactions, performance, and achievements.
  - Academic transcript represents the transactional certification of the student's performance and academic status within the University, including degrees awarded. Transcripts will only be released with a signed request from the student concerned. The university will issue only complete transcripts, not parts of the student record. The university will not make copies of transcripts on file from other colleges or universities.
  - The Student Information System (SIS) - Banner is the University's official repository of student academic records.

- Only the Deanship of Admissions and Registration and Student Affairs can modify student's information.
- Any request to access the Student Information System requires the approval of the Deanship.
- Depending on their roles and responsibilities, faculty members and students might be authorized to have access to SIS to perform certain student academic transactions as appropriate.
- The Office of Admissions and Registration is the Custodian of student academic records and data and the Custodian of SIS.
- *Maintenance and backup of student records:*
  - Hard copies of student records received before the student's admission will be kept for 5 years after student graduation or student's last attendance date. Files of this category of students are also electronically archived.
  - The Deanship of Admission, Registration, and student affairs maintains the digital copy of student records once the original copy is seen and corroborated.
- *Security and confidentiality of the student's academic records*
  - DAU safeguards the privacy of students and the confidentiality of their academic records.
  - Individuals with access to protected student academic records have an affirmative responsibility not to release that information to any third party.
  - Relevant offices with access to student academic records may not release any information without the student's prior consent.
  - Only authorized staff can execute the result of the grade appeal or change the spelling of the student's name.
  - Furthermore, the Registrar has an information system that detects any eventual change of grades on the system. The history of all transactions can be traced.

#### Students Rights, Roles and Responsibilities

- *Student's Right to Inspect or Review Education Records*
  - DAU Students have the right to inspect and review (physically or electronically) information contained in their educational records and to request changes or updates to their personal data in the presence of the responsible personnel from DAU.
  - Where necessary and reasonable, an explanation and interpretation of the record will be provided by qualified University personnel.
  - To ensure that Students may only have access to their own records. Original records may not be removed from any office where they are maintained.
- *DAU will not allow students to inspect or review the following:*
  - Financial information submitted by parents.
  - Confidential letters and statements of recommendation
  - Educational records that contain information about more than one student. However, in such cases, the institution will permit access to that part of the inquiring student.
- *Student Responsibility towards the Records*
  - DAU expects the students to behave as mature members of the academic community and adhere to the highest standards of personal and academic integrity. Students should keep their own records of all transactions with the university. It is also recommended that students keep copies of all materials submitted in fulfillment of coursework. For any exceptions, only the board of trustees has the right to decide on any situation/circumstances outside the conditions stated in this policy.

#### 4. Related Policies/ Documents/ Forms

DAU 9-4 Students and DAU Employees personal Information Release policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-17 Degree Audit and Graduation Policy

| Policy Code   | Policy Name                        |                    |  |
|---|------------------------------------|--------------------|--|
| DAU 5-17  | Degree Audit and Graduation Policy |                    |  |
| Responsible Executive                                   | Current Revision Date              | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                            | 10/2027            |  |

### 1. Policy Purpose

This policy provides guidance to all enrolled students and sets clear regulations for the degree audit and the conferral of graduation degrees, and it maps the graduation requirements.

### 2. Policy Scope

DAU applies this policy for both postgraduate and undergraduate students in all colleges.

### 3. Policy Statement

*Degree Student:* is the university student intending to take a degree.  
DAU requests to assist students in the academic planning and course scheduling to support their progress towards achieving their degrees. Therefore, DAU has developed the Degree Audit and Graduation Policy that sets a clear framework for the degree audit and maps the graduation requirements.

### 4. Policy Procedure

- After the add-and-drop period, the Deanship of Admissions, Registration and Student Affairs shall run a degree evaluation process, put together an audit report for students who are expected to graduate by the end of that semester, and submit it to the respective Deans.
- The College shall review the audit report and indicate any outstanding problem/ feedback on the report's final version submitted back to the Deanship.
- All changes and amendments to the degree audit report shall be shared with the Deanship not later than the eighth week (8) after the add-and-drop period.
- The Colleges shall submit a clearance audit sheet signed by the designers to the Deanship by the tenth week of the semester. The sheet shall clearly state the student's fulfillment of all the graduation requirements and eligibility criteria.
- At the end of each semester, the Deanship shall run a final degree evaluation on the student information system to ensure all potential graduates have successfully completed their courses as per their study plans.
- The Deanship generates transcripts for all the students who have met all graduation requirements and submits them to the Dean of the Colleges for verification and confirmation.
- Once the College Dean confirms, Deanship will proceed with graduation completion processes and awarding approved students in the system.
- All graduating students must submit a clearance request and a copy of their valid ID and passport to receive the graduation certificate.
- Eligible students shall be awarded their degrees without any deferrals. Only students who graduate in the summer semester shall receive their degrees in the following Fall semester.
- The Deanship shall submit a list of students eligible for graduation to the personnel responsible.
- The Deanship shall post the degree on the student's academic record.

### 5. Related Policies/ Documents/ Forms

DAU 3-12 Postgraduate Completion Requirements Policy  
DAU 3-15 Undergraduate Completion Requirements Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-18 Student Support Center Policy

| Policy Code            | Policy Name                   |                    |  |
|------------------------|-------------------------------|--------------------|--|
| DAU 5-18               | Student Support Center Policy |                    |  |
| Responsible Executive  | Current Revision Date         | Next Revision Date |  |
| Student support center | 10/2023                       | 10/2027            |  |

### 1. Policy Purpose

DAU is committed to ensuring and offering its students a variety of services that ensure the students' academic excellence.

### 2. Policy Scope

DAU applies this policy to all students in all colleges.

### 3. Policy Statement

The student support center is the unit authorized and responsible for providing students with the needed academic and psychological support in cooperation with the Students' Performance Committee (SPC) at DAU colleges and programs. All activities and sessions provided will be student-centered and customized to the needs expressed by students through surveys or observed by faculty members who will be invited to propose workshops, seminars, and similar interventions.

The activities will be delivered in a professional and flexible environment that utilizes the facilities available at DAU. The center works with all responsible staff members in DAU (faculty members, academic advisors, deans) to identify students who need academic and psychological support, mentoring, or guidance. The students will also be given access to register and reserve a one-to-one 'coaching' session with a peer or faculty member.

Student Support Center Roles and responsibilities:

- Improving the students' academic skills (critical thinking, time management, positive personality).
- Holding lectures, workshops, and training programs in (English, Mathematics, Information Technology, and Computers) and giving the attended students certificate of attendance.
- Encouraging the students for community engagement activities participation which will improve their experience.
- Counseling the students who have difficulties in their education process.
- Supporting students with special needs and conducting different programs specific to them.
- Keeping the DAU academic environment proper for the students.
- Conducting periodic surveys to measure the satisfaction of the students regarding the services presented by the center, and continuously improving the services provided to the students.

### 4. Policy Procedure

- The center will coordinate with colleges and will coordinate with the students' Academic Advisors who have -academic difficulties.
- The center is responsible for dealing with students at academic risk, those who received several warnings, and similar cases of students who were observed to need academic or skill training support. Students at risk shall be identified in the Deanship of Admission, Registration, and Student Affairs.



- The SPC will Follow-up students with poor academic achievement with a cumulative average of less than 3 and prepare a list for the Student Support Center which will provide equitable educational and psychological support opportunities to all the students who need its support.

#### 5. Related Policies/ Documents/ Forms

DAU 5-7 Academic Advising Policy  
DAU 5-12 Psychological and Social Advising Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-19 Student Career Counselling Policy

| Policy Code  | Policy Name                       |                       |                    |
|--|-----------------------------------|-----------------------|--------------------|
| DAU 5-19   | Student Career Counselling Policy |                       |                    |
| Responsible Executive  |                                   | Current Revision Date | Next Revision Date |
| - Deanship of Admission, Registration and Student Affairs<br>- Alumni affairs and career guidance center |                                   | 10/2023               | 10/2027            |

### 1. Policy Purpose

DAU is committed to providing guidance in career development services for all students and alumni. DAU helps students and alumni explore and attain their career goals and connects them to the job market in the KSA.

### 2. Policy Scope

DAU applies this policy to all students at all colleges. Also, the alumni are eligible to use career services.

### 3. Policy Statement

Career Service and career path counseling are two important pillars of any academic institution's success. Many supporting areas are available such as career planning, resume preparation, and interviewing techniques throughout the year.

## Career Counseling in DAU

Career Counseling Services in DAU are set to achieve the following objectives:

- To assist students and graduates in making decisions, setting goals, and making plans as far as career is concerned.
- To raise students' awareness of possible options for planning the post-graduation phase.
- To direct students and graduates to supplementary skills necessary to meet evolving job requirements.
- To signpost students and graduates to resources available for job search.
- To assist students and graduates in acquiring skills necessary for effective job search.
- To post job ads electronically and on signboards campus wide.
- To establish relations with employers on a win-win basis whereby the OCS will help in providing the necessary logistics for on-campus recruitment or for CV screening processes.
- To liaise with businesses, government, and organizations for possible internship, voluntary, or part-time opportunities for students and graduates.
- To mentor and coach students helping them to create future career plans
- To conduct training for soft skills required by the job market and provide professional development workshops.
- To get internship and placement opportunities from the best employers.
- To create mock interview activities to practice interviews and simulate the employment process.
- To organize career fairs and career days to enable employers and students/alumni to interact with one another. DAU also set up the Career Advancements Training Program in which students and alumni can raise their knowledge about the Labor market requirements.

#### Some career services and activities in DAU:

- *Resume Development:* Advising students on how to write a resume and a cover letter.
- *Workshops/Seminars:* Seminars and workshops are conducted to inform students about the job market, career planning, resume preparation, and interviewing techniques. Workshops are offered throughout the year to meet the needs of students.
- *Career Day:* DAU annually conducts a career day for all colleges which will increase their skills in the labor markets. Also, different companies with employment opportunities participate in this day and this can facilitate DAU students to get job offers from these companies.
- *Interviews:* Companies can schedule DAU interviews with students. Students are notified of the interviews by the Alumni Affairs and Career Development Unit.
- *Employment Searching:* DAU conducts workshops for students on the methodology for job hunting on different digital platforms.

#### 4. Related Policies/ Documents/ Forms

DAU 5-10 DAU Alumni Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-20 Student Activities Policy

| Policy Code  | Policy Name               |                    |  |
|--|---------------------------|--------------------|--|
| DAU 5-20   | Student Activities Policy |                    |  |
| Responsible Executive                                    | Current Revision Date     | Next Revision Date |  |
| Deanship of Admission, Registration, and Student Affairs | 10/2023                   | 10/2027            |  |

### 1. Policy Purpose

DAU ensures enhancing the educational experience of its students by expanding their horizons outside the classroom through the development of, exposure to, and participation in social, cultural, sports, environmental, intellectual, recreational, and governance activities. Different student activities will complete the academic programs. DAU has an elected student council and student clubs that organize and oversee a range of student activities under the supervision of the Deanship of Admission, Registration, and Student Affairs.

### 2. Policy Scope

This policy applies to all students in all DAU colleges.

### 3. Policy Statement

The Deanship of Admission, Registration, and Student Affairs is responsible for and plays a vital role in governing, shaping, and organizing activities that offer scientific, cultural, and entertainment benefits to students.

The following section clarifies the channel through which these activities can be held:

*Student Council:* The Student Council's mission is to represent students and give them the opportunity to communicate their views and concerns to the Top Management. It provides resources to various students, and endeavors to promote the values of teamwork, dedication, and responsibility.

*Student Clubs:* In collaboration with colleges, the Office of Student Affairs is responsible for supporting clubs. The goals of these clubs are to: Encourage students' participation in various activities to improve their performance and develop their leadership skills and encourage them to take on responsibility.

*Art Activities:* organizing exhibitions of student artwork in various areas to motivate talented students. to encourage students to design wall magazines to show their written and artistic work, exhibited in the halls and corridors of the University.

*Sports Activities:* DAU encourages the participation of students in sports activities that are available at the Campus to build their physical well-being through exercises.

### 4. Policy Procedure

#### 1. Student Council

- DAU has one student council for male and female students. The Council president is elected by the Students Affairs, the election process is held electronically. The Student Council membership is valid for one year and it is applicable for renewal.
- Student Council Membership includes (President, Vice President, Members as representative from all colleges).
- The Student Council's mission is to represent students and give them the opportunity to communicate their views and concerns to DAU's Higher Management. It provides resources to various students, and endeavors to promote the values of teamwork, dedication, and responsibility.

## 2. Student Clubs

- **General terms**
  - All clubs are open to all students during their enrolment years, and students may establish clubs/communities that promote their common interests.
  - All clubs/communities are required to fill in an event's plan highlighting all the event's details, budget, and requests and submit it to the supervisors.
  - If the requested events were not included in the club's semester plan, it should be submitted at least two weeks prior to the actual event date for approval.
  - Clubs/communities must hold elections on a yearly basis to select new board members.
- **Club Membership**
  - Memberships expire a year after registration and reopen for renewal the following year.
  - Registration is open throughout the year, but it will be closed one week prior to the board members' election of the selected club.
  - Students may register as members of as many clubs as they wish.
  - Each club must start with a minimum of 10 members.
  - Each club should host at least two activities on campus each semester.
- **Establishing a Student Club**
  - Applicants should direct to The Deanship of Admission, Registration, and Student Affairs to request forming a student club, a list of the names and ID numbers, phone numbers, college, and the position of the student in the club formation. At least 10 students are required to form the club.
  - The purpose of the club and its goals and activities should be submitted to the Deanship.
  - Completed Club/Community Registration Form must be approved by The Office of Student Affairs.
  - Once officially registered and recognized, a student club/community must have an official name, logo, and mission that should be approved by The Office of Student Affairs.
  - All clubs are obliged to operate in compliance with university rules and regulations.
- **Club renewal process**
  - The board members of the club's term of service are two years; the elections process should start afterward to give an opportunity for other members to be board members.
  - Any modifications requested in the club's name or logo should be requested by the club's president from the club's supervisor's office.
- **Club Nomination and Election**
  - Every two years, clubs must hold elections to select new board members.
  - Club executives are required to serve two complete years in their posts.
  - Students cannot run for more than one of the top four positions of two different clubs simultaneously; however, they are able to run for a top position and a lower position in two different clubs/organizations.

## Student Ethics in the Student Council or in the Boards of Registered Clubs

- All board members shall adhere to the highest standards of ethical behavior. A student on any board who is found in violation of the Student Disciplinary and Academic Integrity rules, his/her tenure will be immediately ejected from the club/organization and discharged of his/her responsibilities from the date of receiving the notification.

## 5. Related Policies/ Documents/ Forms

NA

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 5-21 Student Communication Policy

| Policy Code | Policy Name   |                       |                    |
|-------------|---|-----------------------|--------------------|
| DAU 5-21    | Student Communication Policy  |                       |                    |
|             | Responsible Executive   | Current Revision Date | Next Revision Date |
|             | - Student Affairs<br>- Public Relation PR<br>- Students' Councils and Clubs | 10/2023               | 10/2027            |

### 1. Policy Purpose

This policy provides guidance for the communication done by students.

### 2. Policy Scope

DAU applies this Policy for postgraduates and undergraduate students' councils' and clubs in all colleges.

### 3. Policy Statement

DAU is committed to providing the students and campus community with quality publications that enhance its image. Students' publications (ex: magazine, videos, websites, images, pamphlets, and brochures'...) should be in line with KSA, DAU, and College norms and Islamic culture.

Student Publications Controls:

- Publications shall not bear the name and the logo of the University or purport to issue from it without the Deanship of Admission, Registration and Student Affairs and the Public Relations approval.
- All publications must respect religion, culture, and ethnic groups and comply with MOE regulations.
- The university shall not provide any student publication with financial support, editorial assistance, printing or other facilities without Deanship of Admission, Registration and Student Affairs and the Public Relations approval.
- The publication must not contain any unethical materials or violation of the university code of ethics and conduct.
- The publication must not contain female pictures without their approval and final approval from the Deanship of Admission, Registration, and the Public Relations.

### 4. Related Policies/ Documents/ Forms

DAU 5-20 Student Activities Policy

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |

## DAU 5-22 Student Dress Code Policy

| Policy Code   | Policy Name               |                    |  |
|---|---------------------------|--------------------|--|
| DAU 5-22  | Student Dress Code Policy |                    |  |
| Responsible Executive                                   | Current Revision Date     | Next Revision Date |  |
| Deanship of Admission, Registration and Student Affairs | 10/2023                   | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to provide guidelines on the dress code at DAU, demonstrating a professional and positive appearance to its stakeholders. Students are expected to dress in a manner that shows good judgment and respect for DAU. DAU expects and encourages cooperation from faculty, staff, parents, and students in ensuring the proper dress code.

### 2. Policy Scope

DAU applies this policy to all students in all colleges, all academic faculty members, administrative employees, and all DAU community.

### 3. Policy Statement

As a reputable institution, it is expected that all (Students, Faculty members, and administrative employees) will be confirmed by the DAU Dress Code Policy. DAU employees and students must maintain an appropriate standard of dress and personal appearance and always conduct themselves in a professional manner both within the university and when representing DAU on any external platform.

#### *Dress Code for Males and Females within DAU premises:*

- Shorts are not permitted.
- Chest-revealing clothes are not permitted.
- Dress Code Policy for females:
- Females are required to dress modestly, meaning cover their shoulders and knees. Sleeveless shirts or short dresses, skirts and leggings are not permitted.
- All shirts and tops should cover the chest.
- No writing of any kind on shirts or on winter clothing is allowed.
- No sunglasses in the classroom.
- Females should wear head coverings and abaya while entering and exiting the male campus and during meetings with male faculty members and students.

#### *Male Students can wear in DAU:*

- Polo shirts or button-up shirts - short or long-sleeved
- Polo shirts can be of any color with small logos - but large prints are not allowed.
- Shorts must be of solid colors only - stripes, checks, flowers, or any other design on boys' shorts are not allowed. Beach shorts are not allowed.
- Shorts for boys must be worn below the knees.

#### *Female Students can wear in DAU:*

- Polo shirts can be of any color with small logos - but large prints are not allowed.
- Capri pants for girls should be loose and worn halfway down the leg between knees and ankles.

- Skirts for girls must be worn below the knees.

*Disciplinary actions*

Any violation of the dress code policy by any employee or student will be subject to disciplinary action case by case. However, minor breaches of the policy will be dealt with in an informal manner. Students will have a warning if they do not comply with the dress code within DAU, and if they repeat this again the Student Grievance Committee will take a suitable decision regarding this incident.

**4. Related Policies/ Documents/ Forms**

NA

**5. Document History**

| Version | Issue/ Rev. Date | Updated Information/ summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |





# DAU 6.0 Learning Resources Policies

## DAU 6-1 Library Policy

| Policy Code   | Policy Name    |                       |                    |
|---|----------------|-----------------------|--------------------|
| DAU- 6-1  | Library Policy |                       |                    |
| Responsible Executive   |                | Current Revision Date | Next Revision Date |
| -Learning Resources and Libraries Center<br>- Learning Sources Committee (LSC) at colleges levels |                | 10/ 2023              | 10/ 2027           |

### 1. Policy Purpose

This policy defines the rules guiding the management of DAU's Central Library. It clarifies how DAU supports the library by adding new resources and materials and by providing diverse access to different information resources published elsewhere, DAU seeks to make the library resources available to all DAU's Stakeholders by using different methods (hard or soft copies).

### 2. Policy Scope

This policy organizes the work of the Central Library to provide appropriate services to students, academics and staff in addition to the local community.

### 3. Policy Statement

DAU supports its library by adding new resources and materials and by providing diverse access to different information resources published elsewhere, DAU seeks to make the library resources available to all DAU's Stakeholders by using different methods (hard or soft copies). Also, DAU ensures that the Central Library provides the appropriate services to students, academics and staff in addition to the local community.

### 4. Policy Procedures

The Library Policy covers the following Topics:

- Library Working Principles.
- Library Budget.
- Library Information Resources
- Circulation Guidance and Photography Services.
- Library Security System.
- Recommendations and permissions to purchase library resources.
- Access to library resources.
- Retention, cancellation, and disposal.
- Library working hours.

### Library Working Principles

DAU Library' Resources development policy consists of the following key principles:

- Effective mechanisms are applied to ensure the appropriate quantitative and qualitative provision of library contents and related services, based on the needs of programs and all beneficiaries, and make them available at sufficient and appropriate times.
- All learning materials (textbooks and references) and information resources purchased from the Information Resource Budget are selected by the Colleges in coordination with the library working closely with academic colleagues in their colleges.

- The library holds workshops for students, faculty members and all DAU's community members on how to use and how to benefit from the library's resources.
- Effective mechanisms are applied to evaluate learning resources, library services, facilities, and equipment on an ongoing basis, and are developed and updated periodically based on feedback from beneficiaries and program needs.
- The required electronic resources are available on the Internet to meet the needs of learning, teaching, research, and access to them in an easy and permanent way.
- Library materials evaluation, stocktaking, withdrawal, and disposal of stock will be carried out on a regular basis in consultation with the Learning Sources Committee in Colleges.
- DAU's library cooperates with other information providers (electronic information sources) to access learning and research information resources available for distance learning.

### Library Budget

The library follows the criteria for determining the budget set by DAU considering the following:

- The library manager prepares, justifies, and manages the library budget appropriate to the library's goals and presents it to the Finance Department.
- Plan the budget to meet the expectations of library users and balance it with other institutional needs.
- The library uses its financial resources efficiently and effectively.
- The budget supports the needs of academic programs in terms of books and references for learning and scientific research.
- Allocations have been worked out for each Department and college based on the normal percentage increase for journal expenditure and one-year average spend -including spending on books.
- Although allocations have been made for journals, this funding is ring fenced and thus subject advisors will be working with academic colleagues to select and recommend for books' purchasing.
- The allocations can be used to purchase books and journal subscriptions.

### Library Information Resources

- DAU's Library purchases the resources necessary to be available within the library, including books, references, and periodicals that support the process of learning and scientific research, and provides them within the library as resources for students, staff, faculty members, and the local community.
- Books, references and periodicals in Arabic and English are used as educational resources in business administration, architecture, digital design, law, dentistry, medicine, surgery, and nursing.
- Books are shelved using the Library of Congress cataloging system.
- Scientific journals are arranged alphabetically in the presentation area.
- Library staff are available to assist students, faculty members, or other individuals or groups in using the library and its resources effectively.
- The collections include both primary and secondary sources of different types (books, periodicals, official publications, pamphlets, theses, datasets, works of art etc.) and in diverse formats (print, digital, computer software, microforms, audio-visual etc.).
- Digital resources (born-digital or digitized) include the following:
  - Subscription-based resources (e.g., electronic journals) and purchased items (e.g. electronic books, CD-ROMs)
  - Material locally created and deposited in the University's digital institutional repositories: e.g., e-prints (research papers etc.), e-theses, past exam papers and e-learning materials.
  - Material freely accessible on the Web selected for inclusion in the University's e-Library.
- Moreover, DAU Faculty Members and students have access to the Saudi Digital Library (SDL).

### Circulation Guidance and Photography Services

- The circulation desk is responsible for all transactions related to borrowing and returning books and periodicals, placing materials on reserve, recalling borrowed material, and assessing fines in case of destruction of any library resources.
- Faculty members borrow 20 books per semester.
- Postgraduate students borrow 15 books per semester; undergraduate students borrow 10 books per three weeks renewable for another three weeks.
- Administrative staff borrow 5 books per 3 weeks renewable for another 3 weeks.
- Renewals can be done over the phone, online or in person.
- Library Staff offer assistance and instruction in the use of the library's resources.
- Readers with inquiries are advised to consult reference desk staff who are available during the library opening hours. They can contact in person or by calling or e-mailing the library personnel for necessary assistance.
- DAU's library provides photocopying services that are governed by Intellectual Property Law Regulations for print materials to all library users.

### Library Security System

DAU's library is equipped with a security system. An electronic Radio Frequency Identification (RFID) security system is in use to prevent the loss of library books and materials. If an item is taken out of the library without being properly lent, the exit gate will lock, and an audible alarm will be triggered. In this insistence, the patron is forced to go back to the circulation desk for proper check out.

### Recommendations and permissions to purchase library resources

- The representatives of the Learning Sources Committee (LSC) in the colleges make recommendations to purchase books and references and subscribe to digital resources according to the needs of the academic programs in the College.
- Copies of these books and references are provided properly with the number of students in the academic program, so that they do not exceed four copies to ensure the provision of all required books and references.
- The purchase list is submitted by the Head of the department to the Dean of the College for approval.
- The Dean of the College sends the list of references and the number of copies to the central library.
- The Central Library, in cooperation with the Finance Department, provides books and references and indexes them within the library.
- The purchase of printed and digital information resources is managed by the University Library, whether the resources are purchased from the information resources budget or from the Colleges budget.
- Library and Information resource suppliers are selected through the university's procurement system, regulations, and procedures.

*When selecting physical information sources, the following criteria are considered:*

- Importance/relevance to the curriculum.
- Stakeholder's needs, including requirements of special populations.
- College recommendations.
- Reputation and /or significance of the author.
- Value/cost/quality.
- Date of publication.
- Publisher's reputation.
- Authoritativeness and accuracy.
- Appropriateness of format.
- Physical space requirements.
- Maintenance costs.

*When selecting Online information sources, the following criteria are considered:*

- Value/Cost/Quality.
- Usability and ease of access.
- Licensing requirements.
- Extent of coverage.
- Data capture ability (print, email, download).
- Importance of the resource to the academic discipline(s) and the level of expected use.
- Comprehensiveness, durability, and accuracy of the database.
- Long-term viability of resources for preservation purposes.
- Accessibility of the resource under present copyright laws and licensing agreements.
- Ability to provide off-campus access through IP recognition.

### Access to library resources

- The indexing of all information resources is managed centrally by the University Library.
- KOHA (open-source integrated library system) is available to the public 24/7 via the university website and student portals for access to library resources.
- Remote access to licensed electronic resources such as the Saudi Digital Library is for all members of the university 24/7 and is obtained through an electronic authentication system that is centrally operated by IT services at DAU.
- Material sources of information are kept on open shelves, freely accessible to all members of the University during business hours.
- Library guides and training in the skills of using information resources and other types of support are provided by the general services of the university library to enable users to benefit from them.

### Retention, cancellation, and disposal

- The current trend of libraries is to focus on increasing the availability of electronic resources and to focus on creating more places for learning and research work. This trend is based on the following:
- Purchase information resources in electronic rather than printed formats wherever possible.
- Follow a disposal policy - rather than storage - to dispose of all printed and other physical resources that have been replaced by reliably archived electronic resources as well as all printed and other physical materials that no longer meet the teaching and research needs of the University.

*Criteria for selecting sources of information to be disposed of, including the following:*

- Books, printed magazines, and other material items that are no longer relevant to the current and future teaching and research needs of the university.
- Hard copy of high usage e-journals and ensuring permanent access arrangements for those e-journals with publishers.
- Hard copy of low-use magazines.
- Single and duplicate copies of old and canceled texts, including textbooks and reference sources, unless it is of historical value that requires preservation.
- Information sources are little used or in poor physical condition.
- Stock can be disposed of by transferring to another community library.
- Inventory can also be disposed of by sale, gift, or disposal.
- Information sources considered to be withdrawn will be evaluated by learning resource officials in the colleges after consultation with academic programs and scientific research committees in terms of their long-term historical value before making any further decision regarding their future.

*Criteria for selecting items for relegation to store include the following:*

- Books of little use and other important physical items for which there is no available shelving space in the library.

- Information sources that are not part of the DAU Library's information resources but must be kept (such as university theses; old manuals).
- Single copies of old and canceled texts, including textbooks and reference sources, which have historical value.
- Books, printed magazines, and other physical items that are no longer relevant to the current and future teaching and research needs of the University but must be preserved for their historical value.

#### 5. Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes   |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy   |
| 2       | 10/2023          | comprehensive change in the policy and the procedures, and the digital library is added, and the Saudi digital library (SDL) access is added. |



# DAU 7.0

## Physical and Technology Resources Policies

## DAU 7-1 Cyber Security Policy

| Policy Code                            | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 7-1                                | Cyber Security Policy |                    |  |
| Responsible Executive                  | Current Revision Date | Next Revision Date |  |
| Information Technology (IT) Department | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy informs all DAU members, students and visitors of their responsibilities related to maintain the privacy and security of institutional information and the information technology resources. Protection of information and information technology resources is critical to ensure the confidentiality, integrity, and availability of the information.

### 2. Policy Scope

This policy applies to all faculty staff, students, employees, and any other individuals who have access to university-owned technology resources and devices. This policy is applied as well on the IT Facilities and Services such as: (telecommunication and network equipment, desktop/laptop computers, mobile devices, servers, storage solutions, software packages, and applications which are owned by or operated on behalf of DAU, its component institutions, or any of its administrative, academic) at the university.

### 3. Policy Statement

The University aims to maintain an appropriate level of Cyber Security to ensure the confidentiality, integrity, and availability of all electronic Services.

### 4. Policy Procedure

*The following section shows some of the information technology risks related to Cyber- Security:*

- Hacking:

DAU uses effective and strong anti-hacking systems with professional IT employees to avoid such risk and to ensure safety of students' and employee's data and records.

- Virus attacks:

DAU's employees use certified, original, and effective Anti-Virus programs to prevent such risks, this software is downloaded on all DAU's computers in laboratories and for employees.

- Access of Unauthorized Users:

All Unauthorized Users are banned from utilizing DAU Information Technology services for any purpose. Unauthorized PSU users can receive disciplinary actions which may lead to employment termination.

- Using Non-Genuine Software:

Un-genuine downloaded programs and software will cause the easy malware infection of computers and laptops and for the stored data on these devices. So that, DAU always buys and uses the original programs and software within the university in addition to purchasing PCs and laptops from trusted vendors. Also, DAU always renews, and rebuys expired programs and software. DAU doesn't permit any purchasing or downloading any non-genuine software and programs.



- **Data Theft and stolen:**

Data theft is the act of stealing digital information stored on computers, servers, or electronic devices to obtain confidential information or compromise privacy. The data stolen can be anything from bank account information, online passwords, passport numbers, social security numbers, medical records, online subscriptions, and so on. Data that may be stolen at DAU may be one of the following:

- DAU Students records and information.
- Financial Data such as credit card or debit card information.
- Proprietary process descriptions and operating methodologies.
- Network credentials such as usernames and passwords.
- DAU employees' records, data, and information.

- **Human Errors:**

Some human errors may occur such as setting wrong exam grade on the system, or any other human errors related to personal data for employees and students. IT responsible in DAU has the access to change and modify the data with mistake after formal request and approval from the authorized personnel in DAU, and the record of the data changed or modified shall be kept in IT.

*DAU ensures its Cyber Security system by the conducting the following procedure:*

- DAU IT security team will conduct regular risk assessments to identify and prioritize cybersecurity risks. The IT security team will develop measures to reduce identified risks and will report to the IT Director on the risk assessment results and proposed remediation actions. Cyber security controls seek to reduce cyber security risk by either reducing the likelihood or impact of an incident, or both. DAU IT team on a regular basis conducts Cyber Security Risk Management controls and measuring its effectiveness.
- Access to university IT assets, including user accounts, systems, and data, will be granted in accordance with established procedures. The IT security team will manage user access controls and monitor user activity for suspicious behavior. Access to sensitive data will be restricted to authorized personnel only.
- DAU's network infrastructure will be secured through the implementation of firewalls, intrusion detection and prevention systems, and network segmentation. The IT security team will monitor network activity for security threats and vulnerabilities and will implement controls to protect against unauthorized access and data exfiltration.
- The university will establish procedures for responding and solving cybersecurity incidents, including reporting and escalation procedures, incident investigation and analysis, as well as communication with stakeholders if needed.
- The university's cybersecurity program will comply with relevant laws and regulations, such as data privacy regulations and industry-specific compliance requirements.
- The IT security team will monitor compliance and implement necessary controls and procedures to ensure compliance with all applicable regulations.

#### *Cybersecurity Preventative Procedure within DAU*

Cyber Security Preventative Procedures are crucial in DAU as it ensures minimizing the Cyber Security risks within DAU. These preventive actions conducted through:

- **Next-Generation Firewall:** The University uses NGFW firewall appliance to log and protect internet and network usage, including connectivity of all Authorized Users and Digital Services, to prevent known threats and vulnerabilities from being exploited.
- **Blocking of websites:** The University blocks certain website URLs, as their content is considered unsafe, unacceptable, or would put people, Digital Services, or the University at risk. This includes, but is not limited to, malicious, gambling, pornographic, or terrorist content.

- Blocking of applications: The University occasionally places a throttle or limit on the internet traffic to certain high bandwidth streaming applications to prevent an unnecessary drain on University Digital Services.
- Antivirus software's: The University uses antivirus software to ensure the confidentiality, integrity, and availability of its Digital Services and detect any malware or similar malicious code.
- Automated Spam and Phishing detection: The University uses systems that detect spam, phishing messages, and other malicious email entering and leaving its email servers, to protect against Spam, Phishing attempts and viral outbreaks.
- Password strength: The University requires a certain level of complexity in all Authorized Users' passwords. DAU insists on using strong passwords to avoid any data theft and it doesn't permit using the same passwords for different users or programs.
- Secure Sockets Layer (SSL): which is a security protocol that provides privacy, authentication, and integrity to Internet communications which DAU uses to issue cryptographic certificates.
- Monitoring of logs: IT conducts routine monitoring of Digital Services and logs related to those services. This monitoring may reveal signs of external interference, including foreign interference, which is handled in accordance with the Cyber Security Incident Management Process.
- Data Accuracy: All students' and employees' data shall be confidential and accurate. IT on a regular basis review this data to ensure its consistency. Only authorized personnel in DAU can have access to these data.

#### 5. Related Policies/ Documents/ Forms

DAU 7-5 IT Technical Support Policy  
DAU 7-7 Use of Technology Resources

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 7-2 Digital and General Maintenance Policy

| Policy Code   | Policy Name                            |                    |  |
|---|--|--------------------|--|
| DAU 7-2   | Digital and General Maintenance Policy |                    |  |
| Responsible Executive   | Current Revision Date                  | Next Revision Date |  |
| -Information Technology Dept. (IT)<br>-Operation and Maintenance Dep. | 10/2023                                | 10/2027            |  |

### 1. Policy Purpose

The policy aims to ensure the Maintenance services for both digital and Information Technology resources such as (electronic equipment and software) and general maintenance in DAU conducted in effective ways.

### 2. Policy Scope

This policy applies to all DAU communities. It covers all Physical facilities and digital facilities in DAU. Digital facilities such as: computers, communication, printers, photocopiers, other Devices, email, internet access, network applications, web services, cloud services and similar resources.

### 3. Policy Statement

All IT equipment purchased from DAU funds belongs to DAU which means a specific machine may be used by more than one user in its lifetime. So that, this equipment needs periodic Maintenance, or it may be replaced if they are not working properly. General Maintenance in DAU is carried out periodically for DAU facilities and premises. The University also provides necessary Maintenance tools, technicians, supplies and spare parts or other materials used in maintenance whether by storing them in the University or outsourcing from other specialized firms.

### 4. Policy Procedures

#### Electrical Equipment and software maintenance, updating, and replacement procedures:

The IT Dept. is responsible for providing support and maintaining (or arranging maintenance for) all computing and network resources including faculty and staff PCs. It is also responsible for maintaining and upgrading IT resources, hardware, and software, for IT Network infrastructure and DAU Data Center.

- DAU'S Employees shall contact IT dept. for any electronic maintenance needed.
- Within its life cycle, computers should execute software upgrades, for example (operating system or office suite) and should not require a hardware upgrade, unless if the user's requirements change, necessitating a change in hardware configuration, upgrade for (RAM, hard disk, etc.) can be scheduled during the equipment's life cycle.
- *Expected life cycle for IT equipment's in general as follow:*
  - Computers And Laptops/Notebook (End user Equipment): Desktop computers and laptops in normal condition will not be replaced before the end of a 5-year cycle. End user applications in computer labs will be upgraded directly or replaced as soon as there is a new edition.
  - LCD Monitors, PRINTERS, and other General Equipment: Replacement will not be for Less than 10 years or is to be based on failure and is not bound to a particular cycle.
  - Software Lifecycle (Main Application): DAU defines the expected lifecycle of software applications, including the expected lifespan of each application and the anticipated timeframe for replacing it, and should not continue more than ten years.

- Infrastructure and network equipment: will regularly be evaluated to determine whether they are still meeting the needs of the business. The evaluation will consider factors such as end-of-life, compatibility, cost-effectiveness, scalability, functionality, and user satisfaction.
- Disposal of IT Equipment: If IT equipment cannot be re-deployed internally, then the processes of Disposal of IT Equipment should be followed.
- *Periodic Replacement of the electronic Devices:*
  - IT dept. decides whether the device needs to be replaced, upgraded, or if it is in a good condition that satisfies the work requirements. If it is recommended to be replaced, the responsible IT staff will list out all such cases to prepare the purchase request.
  - The replacement procedures outlined here covers all devices used by students, faculty members, college staff and DAU employees, computers will be replaced only when the University's standard software suite, or the software required for instruction, service, or research work will not run effectively on the existing hardware.
  - At the same time, it is important to realize that computer replacement is expensive, disruptive, and labor intensive for both the end user and the IT staff.

#### General Maintenance procedure in DAU:

- All Maintenance requests [Maintenance Request.xlsm](#) at DAU will be filled with the person who requested the maintenance, and the request will be submitted to the Operation and Maintenance department which will decide and implement the maintenance service required by the authorized personnel in DAU.
- Operation and Maintenance department can purchase -regarding to the budget- any requirements needed for maintenance processes in DAU using the [Purchasing Request.docx](#).

#### 5. Related Policies/ Documents/ Forms

DAU 7-7 Use of Technology Resources  
DAU 7-9 Hazardous Waste Disposal Policy  
[Maintenance Request.xlsm](#)  
[Purchasing Request.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 7-3 Health Services, Safety and Security Policy

| Policy Code  | Policy Name                                 |                    |  |
|--|---|--------------------|--|
| DAU 7-3  | Health Services, Safety and Security Policy |                    |  |
| Responsible Executive  | Current Revision Date                       | Next Revision Date |  |
| - Medical clinic<br>- Safety and security Dept.<br>- Risk Management Committee | 10/2023                                     | 10/2027            |  |

### 1. Policy Purpose

This policy explains safety and security for all DAU Community with clarification of some preventive actions to enhance safety and security for personnel in DAU. It also identifies Health care services provided to all DAU community to ensure healthy DAU Community.

### 2. Policy Scope

This policy is applied to all DAU employees, students and visitors.

### 3. Policy Statement

DAU gives great attention to the safety, security and health services provided to all DAU community regarding labor law, rules and regulations set by DAU. Also, DAU is committed to providing the necessary health services needed and in some special cases it can refer them to specialized health centers at the appropriate time. DAU's goal is to provide employees and students with a suitable healthy, safe and clean working and educational environment.

### 4. Policy Procedures

#### 1- Safety and Security in DAU

- *Physical Safety and Security in DAU*
  - The Safety and Security department is responsible for all DAU's employees, graduates and night shifts postgraduate students' safety.
  - The Department maintains the entrance of DAU safe by checking the IDs of students', employees' and visitors' permissions.
  - The department takes the necessary actions in case of any abnormal incidents happening in DAU by implementing rapid correction actions, if these actions are not enough DAU shall call Civil Defense or Ambulance when it is needed. The accidents shall be recorded, and the actions taken shall be recorded too.
- *Fire Safety and Security Preventive actions in DAU*
  - The Risk Management Committee trains DAU's employees for firefighting and extinguishing using suitable tools and techniques.
  - The Risk Management Committee prepares suitable buildings evacuation plans with clarification of the concerned personnel and publish the plans on each floor.
  - The Risk Management Committee trains employees on these evacuation plans and carry out fire drills on a regular basis to ensure the effectiveness of the firefighting training provided.

## Health services within DAU

- *DAU Clinic*
  - DAU provides health services to its students and employees through the easily accessible Medical Clinic which is equipped with professional medical personnel to provide the required primary and emergent health services.
  - The clinic examines the medical fitness for new students and refers the results to the Deanship of Admission, Registration and Student Affairs to ensure that they are fit and free from communicable diseases.
  - The clinic conducts health awareness sessions for staff and students to deal with the health risks they might face.
  - The clinic can communicate -in some specific cases- with external emergency services such as Red Crescent which in turn will take the proper actions for the incident.
- *Other Health Services in DAU*
  - First aid boxes are provided in all areas of the campus in easily accessible places, and they are checked periodically to ensure the validity of the treatments, detect any shortage in their contents, and refill them.
  - The College of Dentistry's dental clinics offer medical services to all university employees, their relatives and surrounding community at affordable rates.
  - DAU employees are covered with a comprehensive health providers network offered by a credible health insurance provider which allows them to seek medical coverage in most hospitals and medical clinics throughout the Kingdom of Saudi Arabia.

## 5. Related Policies/ Forms/ Documents

[Risk Management Policies and Procedures](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/ 2023         | 1 <sup>st</sup> Issue of the Policy     |

## DAU 7-4 Hostel Policy

| Policy Code   | Policy Name           |                    |  |
|---|-----------------------|--------------------|--|
| DAU 7-4   | Hostel Policy         |                    |  |
| Responsible Executive   | Current Revision Date | Next Revision Date |  |
| - Human Resources Directorate<br>- Operation and Maintenance Department | 10/ 2023              | 10/2027            |  |

### 1. Policy Purpose

This policy clarifies how DAU Provides housing and an appropriate atmosphere for the university's faculty members and employees. This policy also shows rules and regulations of DAU's housing.

### 2. Policy Scope

All employees of the university, including faculty members and contracted employees on a full-time basis.

### 3. Policy Statement

DAU provides adequate housing for its faculty members and administrative staff in an appropriate healthy and social environment. The university is committed to paying a monetary housing allowance as one of the components of the salary for all DAU employees, and it is not permissible for the spouses to obtain it if both work at the university.

HRD in DAU has vital responsibilities in housing process such as:

- Handling over units to deserved people,
- Receiving evacuated units,
- Following-up housing contracts renewal or termination,
- Coordinating with other responsible departments to implement their duties in the housing units.

### 4. Policy Procedure

#### Rules and Regulations for housing in DAU

- Allocation of housing is related to the availability of a vacant housing unit in DAU housing premises.
- The resident is not permitted to enable others to use the housing, whether by assignment or leasing, and he/she is not permitted to use the housing unit for purposes other than housing.
- For spouses who are working in DAU, no more than one housing is provided.
- The occupant's housing is ended at the end of the work relationship with DAU even by resignation, dismissal, retirement. Residents are given 30 days to vacate their housing.
- If a housing unit is specified for the resident, and the resident is being late in transferring/ receiving it for a period of 15 days (about 2 weeks) from the date of his/her notification, the application is considered null, and his name is removed from the housing waiting list.
- Furnishings, telephones, fiber optic service, water consumption, electricity and other services must be paid according to the invoices issued by the resident.
- No person can enter the housing except those who have permission from the residents. Only in emergent cases which require immediate entrance, this will be done by the competent authority with the preparation of a report of this incident.
- The resident is committed to preserving the housing unit, and does not make any changes to it, whether internally or externally, without prior permission from DAU.
- Resident shall not disturb other residents and shall adhere to moral values and principles.
- Only Fish and ornamental birds are allowed in DAU housing.

- The resident must take all safety measures when using electrical appliances and ensure that devices are compatible with the electrical network in the residence.

### Housing evacuating

- Using the housing unit for a purpose other than its intended purpose or rents it out or allows others to use this will cause losing the housing contract.
- The resident's housing right is lost if the resident harms neighbors, environment, buildings, other residents and violates public morals and regulations.
- The resident shall leave the unit if DAU issues a decision to terminate his housing contract after the approval of the authorized unit in DAU.
- When vacating the unit, resident shall hand it over to the university and undertake to liquidate the remaining amounts owed by him related to the rent of the housing unit or utility bills (electricity - water - telephone) as well as evacuating it from his luggage.
- The evacuation form is filled out by the Operation and Maintenance Department to ensure that there is no damage in the housing unit.
- The Maintenance and Operation Department receives the key to the unit to prepare it for others.
- In case of DAU employee death, his/her family will be vacated from the housing unit at the end of the housing contract.

### Housing procedures in DAU

- *Requesting Housing:*
  - The [Housing Request.docx](#) form is filled out electronically by those wishing to obtain housing and submitted to HR.
  - HR collects these requests and monitors the vacant housing units.
  - HR reserves and delivers housing units according to the priority of submission and according to the availability of vacant housing units, considering the special cases that the university deems worthy of housing without being committed to the time of applying for housing.
- *Maintenance request procedures:*
  - DAU maintains and cleans the housing unit before handing it to any resident.
  - DAU carries out periodic maintenance of the housing units as needed for basic services without charging the residents with any related expenses.
  - The resident fills out a [Housing Maintenance Request.docx](#), and submits it to the Maintenance and Operation department for taking suitable action.

### 5. Related Policies/ Documents/ Forms

[Housing Request.docx](#)

[Housing Maintenance Request.docx](#)

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 7-5 IT Technical Support Policy

| Policy Code                        | Policy Name                 |                    |  |
|------------------------------------|-----------------------------|--------------------|--|
| DAU 7-5                            | IT Technical Support Policy |                    |  |
| Responsible Executive              | Current Revision Date       | Next Revision Date |  |
| -Information Technology Department | 10/2023                     | 10/2027            |  |

### 1. Policy Purpose

This policy ensures that technical support is provided in a consistent and efficient manner, and that all the staff and students are treated fairly and receive the same level of support to allow easy and secure access to the university services and devices.

### 2. Policy Scope

This policy applies to all Faculty Members, DAU employees, Students, and any other individuals who have access to DAU technological resources.

### 3. Policy Statement

The IT support team is responsible for maintaining and updating DAU's IT infrastructure. This includes managing hardware, software, and network resources to ensure that they are secure and functioning optimally.

### 4. Policy Procedure

IT dept. Implements the following procedures to ensure effective support for IT within DAU:

- Responding to support requests in a timely and efficient manner.
- Providing support for university-owned hardware, software, and network resources.
- Prioritizing support requests based on their impact on university operations.
- Escalating support requests when necessary.
- Communicating with users regarding the status of their support requests.
- Maintaining accurate documentation of support requests and their resolutions.
- Visiting offices, classes, laboratories and student accommodation to provide any technical support and maintenance. There will be no support including maintenance for peripheral equipment (eg. Monitors, Local Printers, Storage Drive.....), only will be replaced if it is available.
- On demand, IT Support Staff may provide training and education to users on how to use university technological resources. This includes providing guidance on best practices for data security, password management, and other IT-related topics.

### 5. Related Policies/ Documents/ Forms

DAU 7-7 Use of Technology Resources

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 7-6 Smoking Policy

| Policy Code  | Policy Name           |                    |  |
|--|-----------------------|--------------------|--|
| DAU 7-6  | Smoking Policy        |                    |  |
| Responsible Executive  | Current Revision Date | Next Revision Date |  |
| - Human Resources Directorate<br>- Deanship of Admission, Registration and Student Affairs | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

DAU maintains a healthy environment for DAU's community. This policy has been developed to reduce and prevent smoking in DAU premises.

### 2. Policy Scope

This policy will be applied to all faculty members, administrative staff, students, and visitors.

### 3. Policy Statement

DAU prohibits smoking inside its premises and each member of DAU community is responsible for non-smoking within DAU.

### 4. Policy Procedures

Smoking is not allowed inside all buildings of DAU and there is a three-level warning system for both faculty and administrative staff as well as students who smoke in university buildings.

*Warning levels for smokers among DAU's employees:*

- First time warning: the employee receives a verbal notification from the authorized personnel in DAU.
- Second time warning: the employee will receive a written warning from the authorized personnel in DAU.
- Third Time warning: The employee will be subjected to disciplinary action from the responsible office and will be counted in the employee's annual performance appraisal.

*Warning levels for smokers among students:*

- First time warning: the student will be given a verbal warning from the university security.
- Second time warning: the student will receive a written warning from the Deanship of Admission, Registration and Student Affairs or the office concerned.
- Third Time warning: The student will be subjected to disciplinary action by the office responsible.

### 4. Related Policies/ Documents/ Forms

DAU 4-12 University Consultancy Services Policy

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 7-7 Use of Technology Resources

| Policy Code           | Policy Name                 |                    |  |
|-----------------------|-----------------------------|--------------------|--|
| DAU 7-7               | Use of Technology Resources |                    |  |
| Responsible Executive | Current Revision Date       | Next Revision Date |  |
| IT Department         | 10/2023                     | 10/2027            |  |

### 1. Policy Purpose

This policy outlines the acceptable use of technological resources such as computers, software, network systems, email, social media, and other electronic devices and applications. Also, this policy shows the roles and responsibilities of DAU stakeholders to protect the technology resources in DAU.

### 2. Policy Scope

This policy applies to all Faculty members, employees, Student, and any other individuals who have access to university-owned technology resources.

### 3. Policy Statement

IT in DAU makes the use of IT resources and services efficient and more effective to all DAU community. IT publishes the rules and responsibility for each person in DAU Community regarding the usage of technological resources.

### 4. Policy Procedures

#### The Major and General Responsibilities for DAU'S Information Technology Resources usage:

- *Determination of responsibilities and accessibility:* not all data in DAU is accessible for all DAU Community, so that IT will set the proper accessibility for DAU personnel.
- *Protection of Resources:* Users must take reasonable steps to protect University Information Technology Resources from damage, theft, or misuse. This includes safeguarding passwords, protecting data from viruses and malware, as well as reporting any security incidents or breaches.
- *Respect for Others:* Users of University Information Technology Resources must respect the rights and privacy of others. This includes refraining from accessing or sharing confidential, or otherwise protected information.
- *Responsible Use:* Users of University Information Technology Resources must use these resources responsibly and, in a manner consistent with the University's mission and values. This includes using resources for authorized purposes only, avoiding the use of resources for personal gain, and avoiding any activity that may disrupt or harm the University's electronic systems and networks.
- *Privacy:* The University reserves the right to monitor both usage and content of email messages, instant messages, discussion forums and visits to websites using DAU digital resources.
- *Compliance with Laws:* Users of University Information Technology Resources must comply with all applicable laws, regulations, and policies related to the use of these resources. This includes laws related to intellectual property, data protection, and privacy.

#### Rules and Regulations for proper usage of DAU'S Information Technology Resources:

- Users should not use the computer systems for commercial purposes without authorization from the IT Dept.
- Usernames, passwords, and computer data belonging to an individual or the university are considered personal property. Users should not copy, change, or use another person's files, data, or usernames

without authorization from the data owner. The same restriction applies to institutional files, information, and systems from unauthorized use.

- Users should report cases of losing or stolen devices owned by the University to IT immediately.
- Users are not allowed to download or upload unauthorized software over the internet.
- Users are not allowed to install any software without advice from the IT Department.
- User should follow up required Security Awareness publications and Emails to learn how to improve Protecting university accounts, systems, and data.
- Report any security incident or suspected misuse of any technology resource to the IT Department.
- Regular backups of essential work-related data which is on DAU PCs and laptops is the responsibility of the user to create and store securely.
- It is recommended that general work data (these are created by a user in relation to his/her job) be backed up at least monthly although any critical information should be backed up immediately after creation or at least weekly.

#### 5. Related Policies/ Documents/ Forms

DAU 7-1 Cyber Security Policy  
DAU 7-5 IT Technical Support Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 7-8 Environmental, Occupational Health and Safety Policy

| Policy Code   | Policy Name  |                    |  |
|---|--|--------------------|--|
| DAU 7-8   | Environmental, Occupational Health and Safety Policy |                    |  |
| Responsible Executive   | Current Revision Date                                | Next Revision Date |  |
| -Risk Management Committee<br>-Safety and Security department | 10/ 2023   | 10/ 2027           |  |

### 1. Policy Purpose

This policy shows how to deal with different chemical materials and identify how to mitigate the risks related to their usage which will guarantee compliance with the occupational health and safety requirements for all DAU community and the commitment of DAU to comply with the Environmental rules and regulations in the Kingdom.

### 2. Policy Scope

This policy is applied to DAU Community, especially those who have direct contact with chemical substances. Also, it is applied to DAU's internal environment and surroundings.

### 3. Policy Statement

Any unsuitable or irresponsible treatment with chemical substances, especially the high-risk ones, may affect the safety of the DAU's working environment, surroundings, health and safety of employees, students, and visitors. In addition to personnel safety, these irresponsible actions could harm the Environment within DAU and its surroundings.

### 4. Policy Procedure

DAU Guarantees safety of its environment and employees by dealing with these risks in proper and effective way as following:

#### Prompt Procedures (Correction Actions)

When environmental incidents or Occupational Health and safety raised in DAU, the following procedures will be implemented:

- Alarming people and evacuating the affected area.
- Providing DAU personnel with Personal Protective Equipment (PPE) as appropriate to the hazards.
- Considering the need for respiratory protection.
- Notifying others who are close to the site of danger and transferring them away from the effected site.
- Prohibiting entrance to the contaminated atmosphere without protection or using a respirator without training.
- Rescuing the injured persons, transporting them to a safe place carefully, and providing them with medical assistance.
- In case of severe emergency, contact the Civil Defense on 998 or call 911.

#### Tackling Risks (Corrective Actions)

- Following the announced rules, regulations and procedures are set for tackling these environmental and human health risks.
- Investigation the main causes which lead to this risk incident occurrence.
- Reporting the incident and keeping records for corrective and preventive actions taken.

- Following up regularly the actions' implementation and monitoring its effectiveness to avoid re-occurrence of the risk.

### Risk Mitigation Procedures (Preventive Actions)

- Assessing of the hazardous material prior to its usage on site.
- Toxic/ Corrosive/ Flammable/ Combustible materials must be only handled by adequately trained personnel.
- Toxic/ Corrosive/ Flammable/ Combustible materials must be correctly labeled.
- Storing corrosive materials in suitable containers away from reactive materials.
- Keep a safe distance between all ignition sources and flammable or combustible materials.
- Storing all materials in a designated and secure safe location
- The acid fumes or splashes should never reach the area where chemicals are kept.
- Written instructions on storage practices are provided at the entrance of each lab.
- Complying with the applicable health, safety, and environmental local laws and regulations in the Kingdom of Saudi Arabia.
- Monitoring, assessing, and continually improving health, safety, and environmental objectives and policies.

### 5. Related Policies/ Documents/ Forms

DAU 7-9 Hazardous Waste Disposal Policy  
[Risk Management Policies and Procedures](#)

### 6. Document History

| Version | Issue/Rev. Date | Updated Information/ Summary of Changes |
|---------|-----------------|---|
| 1       | 10/ 2023        | 1 <sup>st</sup> issue of the Policy     |

## DAU 7-9 Hazardous Waste Disposal Policy

| Policy Code  | Policy Name                     |                    |  |
|--|---------------------------------|--------------------|--|
| DAU 7-9  | Hazardous Waste Disposal Policy |                    |  |
| Responsible Executive  | Current Revision Date           | Next Revision Date |  |
| - Specialized Company for Medical Waste Treatment<br>- Risk Management Committee | 10/ 2023                        | 10/ 2027           |  |

### 1. Policy Purpose

This Policy ensures safe disposal of hazardous wastes in DAU and avoids possible risks in laboratories, morgues, clinics, and dental clinics.

### 2. Policy Scope

This policy is applied to any facility in DAU dealing with chemicals/ medical wastes which require special disposal processes such as clinics, medical and chemical laboratories.

### 3. Policy Statement

To avoid any possible risks of Hazardous waste, which is defined as a waste, or a combination of wastes, which because of its quantity, concentration, physical, or chemical characteristics may pose a substantial present or potential threat to human health or the environment when improperly treated, stored disposed of, transported, or otherwise managed.

### 4. Policy Procedure

Some prompt, tackling, and protective procedures must be considered as stated in the Policy Procedure section for disposing of hazardous waste from DAU's laboratories, morgue, and dental clinics. The following section shows how known and un-known chemicals will be treated in DAU.

#### Dealing with Known Medical/ Chemical Hazards Disposal

- When a medical/ chemical item is no longer wanted and requires disposal, it MUST be labeled with the words "Hazardous Waste."
- Use a suitable container with a lid. Place the "Hazardous Waste" label on it.
- The complete name(s) must be labeled in English on the container. Abbreviations and generalizations such as "halogenated waste" are not acceptable.
- Always keep hazardous waste containers capped and closed except when adding or removing material from the container.
- Segregate waste containers according to contents (infectious, flammable, corrosive, etc.)
- DAU has a contract with a specialized company for treating infectious and dangerous biological medical waste.

#### Dealing with Unknown Medical/ Chemical waste

- One of the frequently repeated risks is facing an unknown medical/ chemical waste that cannot be identified. This kind of waste cannot be legally disposed or transferred. To dispose them safely and properly, it is important to know as much as possible about the material. Testing may need to be done to determine the characteristics of the waste. This testing is expensive and may be charged back to the department generating this waste.

### Unknown Medical/ Chemical waste Disposal

- Attempt to determine how the waste was generated, contacting researchers/professors even if they left DAU.
- The more information known about the waste, the easier it will be to characterize it for disposal.
- If possible, perform a diagnostics examination to determine the characteristics of the waste.
- Contact the contracted specialized company for more information and support.

### Procedures to mitigate Medical/ Chemical Hazardous Wastes Disposal Risks (Preventive Actions)

- Storing the chemical/ medical waste in containers that are compatible with the material they contain.
- Hazardous waste containers must be in a good condition with no rust or leaks. If the container is failing, transfer the chemical/ medical waste to a new container for disposal.
- Labeling accurately the chemical/ medical waste container.
- Removal of chemical/ medical waste on a regular basis regarding to the waste disposal company rules and regulations with the compliance with the applicable health, safety, and environmental local laws and regulations in the Kingdom of Saudi Arabia.
- Dissemination and orientation about toxic, corrosive, flammable, and combustible materials, as well as their related procedures, are crucial for ensuring the safety of employees and preventing accidents or incidents in DAU.

### 5. Related Policies/ Documents/Forms

DAU 7-8 Environmental, Occupational Health and Safety Policy

[Risk Management Policies and Procedures](#)

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |





# DAU 8.0 Fiscal Resources Policies

## DAU 8-1 External Audit Policy

| Policy Code           | Policy Name           |                    |  |
|-----------------------|-----------------------|--------------------|--|
| DAU 8-1               | External Audit Policy |                    |  |
| Responsible Executive | Current Revision Date | Next Revision Date |  |
| - Finance Department  | 10/2023               | 10/2027            |  |

### 1. Purpose of Policy

DAU is committed to maintaining high standards of financial integrity and accountability. To achieve this objective, the university undergoes periodic External Audits by independent and qualified auditors who examine and evaluate its financial records, processes, and controls. The purpose of this policy is to define the scope and requirements for external audits at DAU, and to assign roles and responsibilities for conducting and facilitating such audits.

### 2. Policy Scope

This policy applies to all external audits conducted at DAU, including financial audits, compliance audits, and other types of audits performed by external auditors. It covers all departments, units, and operations of the university that are subject to audit, as well as the external auditors assigned by the university to perform audits.

### 3. Policy Statement

External audit of DAU financial statements and accounts is an essential part of the university's governance and accountability framework. The external audit provides assurance to the board of trustees, management, and stakeholders that the university's financial information is reliable, accurate, and compliant with Generally Accepted Accounting Principles (GAAP). The external auditor shall be selected by the board of trustees based on their qualifications, experience, reputation, and independence. The external auditor shall perform the audit in accordance with international professional accounting standards and ethical principles and shall report their findings and recommendations to the board of trustees. The university shall respect the external auditor's role and authority and shall implement appropriate actions to address any audit issues or recommendations.

### 4. Policy Procedures

The board of trustees shall engage the services of an auditing firm to serve as the external auditor of the university. The external auditor shall conduct an annual review of the financial records and provide an audit report together with a management letter as part of the auditor's report. The audit report shall be sent directly to the board of trustees or to a committee formed for this purpose by the board of trustees. The board of trustees shall review the report prior to making recommendations to the President of DAU.

### Reporting Fraudulent or Illegal Acts

DAU shall properly report the fraudulent or illegal act.

These illegal acts include:

- Any person who suspects that fraud or illegal activities are taking place in his or her department must report that suspicion immediately to their direct supervisor. If the employee believes that the supervisor is involved, or is otherwise uncomfortable reporting in this manner, he/she must immediately notify the University Auditor. Supervisors to whom such reports are made must review them, and if they have merit, report them to the next level of management or to the University Auditor
- Individuals conducting business on behalf of the University are personally responsible for the consequences of any violations they commit.

- Individuals conducting business on behalf of the University must do so for the benefit of the University. Where a potential for personal gain exists, this potential conflict of interest must be reported immediately, and be carefully evaluated before any financial transactions are allowed to occur.

### Response and Resolution of External Audit Findings from Regulatory Agencies

Responding to external audit findings from regulatory agencies includes ensuring the following:

- The University Auditor is notified prior to commencement of any audit or review by an external regulatory agency.
- A full investigation of facts is conducted to ensure the accuracy of any findings.
- If a finding is in error, full documentation must be sent immediately to the Office of President
- If a finding is valid, corrective action must be taken immediately to correct the deficiency and ensure the situation does not recur.
- Where findings result in disallowances, departments must cover the disallowances with other department funds. If a department does not take prompt action, central accounting departments may step in to act. Where findings result in extrapolated disallowances, the Executive Director - Financial Management will review the circumstances and decide upon an appropriate allocation of the disallowance.

### Engagement of External Auditors

The university shall assign external auditors based on a competitive selection process that ensures the independence, qualifications, and experience of the auditors. The engagement of external auditors shall be approved by the board of trustees or other authorized bodies of the university. The terms of assignment, including the scope of the audit, fees, and other relevant terms, shall be documented in a formal letter or contract.

### Scope of External Audits

The scope of external audits shall be defined in the engagement letter or contract, and shall be based on applicable auditing standards, laws, regulations, and the university's specific requirements. It may include financial audits, compliance audits, performance audits, or other types of audits as determined by the university or required by applicable laws or regulations. The external auditors shall have access to all relevant financial records, processes, and controls of the university, and shall be allowed to perform necessary audit procedures to obtain reasonable assurance on the accuracy, reliability, and compliance of the university's financial information.

### Roles and Responsibilities

The university's top management shall provide necessary support and cooperation to the external auditors, including providing access to relevant financial records, processes, and controls, and responding to audit inquiries in a timely and accurate manner. The internal audit function, if present, shall collaborate with the external auditors to facilitate the conduct of external audits, including aiding in audit planning, testing, and reporting. The external auditors shall perform their audit procedures in accordance with applicable auditing standards and shall exercise professional judgment and skepticism to obtain reasonable assurance on the university's financial information. They shall communicate the results of their audits, including any material findings, recommendations, or concerns, to the university's top management, board of trustees, or other relevant stakeholders.

### Audit Reporting

The external auditors shall provide a written report on the results of their audits, which shall include their opinion on the fairness of the university's financial information and the compliance with applicable laws, regulations, and accounting standards. It shall be submitted to the university's senior management, board of trustees, or other relevant stakeholders, and shall be presented in a format that is understandable and accessible. The university shall take appropriate actions to address any material findings or recommendations raised by the external auditors and shall provide timely responses and updates to the audit report.

### 5. Related Policies/ Documents/ Forms

DAU 8-2 Financial Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 8-2 Financial Policy

| Policy Code           | Policy Name           |                    |  |
|-----------------------|-----------------------|--------------------|--|
| DAU 8-2               | Financial Policy      |                    |  |
| Responsible Executive | Current Revision Date | Next Revision Date |  |
| Finance Department    | 10/2023               | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this Financial Policy is to establish guidelines and procedures for effective financial management in DAU. It aims to ensure that the university's financial resources are managed in a responsible, transparent, and compliant manner, in alignment with the mission and goals of the university. It provides overarching principles for financial management, including budgeting, accounting, reporting, procurement, and risk management.

### 2. Policy Scope

This policy applies to all departments, employees, and decision-makers involved in financial management at DAU, including senior management, finance and accounting staff, purchasing staff, and other relevant personnel. It covers all aspects of financial management, including budgeting, accounting, financial reporting, procurement, risk management, and compliance.

### 3. Policy Statement

DAU is committed to maintaining its financial situation safeguarded by ensuring that the financial resources are used effectively and efficiently. The university recognizes the importance of adhering to relevant laws, regulations, and best practices in financial management, and strives to promote transparency, accountability, and compliance in all financial transactions and processes.

### 4. Policy Procedures

#### Budgeting:

- The university shall develop an annual budget plan that aligns with its strategic goals, priorities, and available resources.
- The budget plan shall be based on accurate and reliable financial data, including historical financial performance, projections, and other relevant information.
- The University's budget plan shall be reviewed by the finance management and approved by the University Council.
- Budget holders shall be responsible for managing their respective budgets in accordance with the approved budget and established financial policies and procedures.

#### Accounting:

- The university shall maintain accurate and up-to-date accounting records in accordance with generally accepted accounting principles (GAAP) and applicable laws and regulations.
- All financial transactions shall be documented, recorded, and reported in a timely and accurate manner. c. The university shall have a system of internal controls in place to ensure the integrity and reliability of its financial data, including segregation of duties, authorization procedures, and regular reconciliations.
- The university shall conduct periodic financial audits to verify the accuracy and compliance of its financial records and transactions.

### Financial Reporting:

- The university shall provide regular and accurate financial reports to senior management, the board of trustees, and other relevant stakeholders, in a format that is understandable and accessible.
- Financial reports shall include information on the university's financial performance, budget variances, cash flow, and other relevant financial metrics.
- Financial reports shall be prepared in accordance with applicable laws, regulations, and accounting standards, and shall be audited by an independent auditor as required.

### Procurement/ Purchasing:

- The university shall establish a procurement process that ensures transparency, competition, and compliance with applicable laws and regulations.
- Procurement decisions shall be made based on objective criteria, such as price, quality, and suitability for the university's needs.
- The university shall maintain proper documentation of all procurement transactions, including purchase orders, contracts, and invoices.
- The university shall periodically review its procurement processes and vendor relationships to identify opportunities for cost savings, efficiency improvements, and compliance enhancements.

The following section shows Fees, Scholarship Fees, and types of expenses in DAU:

#### Tuition Fees

- Tuition and registration fees of the University are recognized based on the year of semesters and on the date of registration.
- Tuition fees received in advance during the previous year are recorded as income in the current year (accrual basis).
- Tuition fees received in advance are refunded to students who withdraw from the University during the semesters in accordance with the University's internal policies.
- Tuition fees in all the colleges and programs are determined in accordance with the credit hours' system.

#### Admission fees:

- SAR 3000 non-refundable (Bachelor of Laws, Business Administration, Architecture and Digital Design).
- SAR 5000 non-refundable (Master Program in Business and Law).
- SAR 5000 non-refundable (Medical specialties).
- The tuition fee includes all academic services except textbooks.

#### Scholarships

DAU family has taken upon itself the sponsorship of gifted Saudi students through its scholarship programs. DAU has Five scholarships programs namely:

- DAU Schools Graduate Scholarship Program.
- Ministry of Education Scholarships Program (Internal Scholarships).
- Ministry of Education grants program for special cases.
- University scholarship program for the children of martyrs.
- The university's partial scholarship program for its new and regular students at a rate of 50% and 20% according to specific regulations.

#### Tuition fees for a scholarship from the Ministry of Education:

The student has the right to bear tuition fees during the year for the education program, bearing fees that exceeds tuition fees during the year, provided that the balance shown in his account statement does not exceed the amount of the scholarship, payment for that on the first of March every year after the completion of registration in the second semester, and this is done during the application To the Financial Department from March 01 to March 15.

#### Payment methods:

- Cashier's check.
- Direct deposit (Mada, Bank account number: 71100003041906 ,IBAN No: SA7110000071100003041906).
- ATM through POS on the DAU campus.

#### *Receipting and Deposits*

- All monies (cash and cheques) received by cashiers are to be deposited by next working day into the University's bank account. Such deposits must be accompanied with a bank deposit slip.
- Each cashier detailing the receipt vouchers issued during the day, including amounts, types of collection, and other relevant details, and finally submitted to the Main Cashier, prepares a Daily Cash Receipt Report.
- The main cashier will prepare a bank deposit slip in duplicate copies by the end of the day. The relevant will be recorded on the bank deposit slip.
- The bank account in which the cash is to be deposited will be ascertained prior to allotting the account codes to the bank receipt voucher.
- The cash will then be taken to the bank through Money Transport Company along with both copies of the bank deposit slip.
- The bank will retain the original and will return the duplicate duly acknowledged which will be attached to the related Journal Voucher (prepared the same day).
- The Accounts Department will reconcile the total amount of cash deposited into the bank with the total of the receipts for the day to ensure prompt banking.
- The deposit should be prepared by a person other than the person collecting the cash.
- A person (other than the person preparing the deposit) should review the deposit and enclose the official University cash receipt to the deposit back-up documents.
- Bank Statements should be reconciled with the University's statements to ensure all transactions are accounted properly.

#### *Expenditures*

- Overview

For simplicity of presentation and to facilitate easier understanding of the accounting procedures connected with expenses and purchases to be followed, this has been divided into three main categories:

- Prepaid expenses (Expenses for which payments are made in advance), such as rent, that will be recognized later.
- Expenses, which are recognized periodically, such as payroll, utilities, and professional/audit fees.
- Other expenses, which are recognized and paid when invoices are received, such as Printing, Stationery, Travel and Transportation expenses.

All expenses of any of the above-mentioned expense types shall be initially approved by the finance management prior to commitment with any external party on future payments.

Approval or rejection of the requisitions submitted to the budget section shall be based on the annual approved budget limits of the concerned office/college.

- Prepaid Expenses
  - The Accounts Department will receive the supporting documents pertaining to prepaid expenses such as: Tenancy contract, Agreements, and Requests for payments, after being approved by Budget Unit.
  - A bank payment voucher will be prepared based on these documents, which will be sent to the Accounts Manager for approval. The agreements and contracts will be maintained in a permanent file in the Accounts Department.
  - Based on the approved voucher, the Accounts Department will update the Prepaid Expenses Register that will include the payee's name, nature of payment, amount prepaid and period of payment.

- At the end of each month, a journal voucher will be prepared to pass entries for charging that month with the relevant amount of each item of prepaid expense. The amount to be charged will normally be the proportionate amount determined by spreading the charge equally over the months covered by the contract.
- The Accounts Department will periodically review the adequacy of the monthly absorption of prepaid expenses. If the charge is found to be incorrect, suitable amendments will be made to the basis of quantifying the amount for future absorption.
- **Accrued Expenses**
  - The Financial Department will accrue for the value of all expenses for which the benefit has passed to the University but the invoices from the supplier/party have not been received by the end of the month.
  - Examples of such expenditures for which accrual entries shall be passed include printing and stationery materials, standard fixed utility expenses like electricity, water and telephone, payroll, end-of-service benefits, and auditing fees.
  - The accrual entry shall be passed through journal voucher. The basis of quantifying these expenses will be either the past expenditure or estimates from previous invoices.
  - The Accounts Department will prepare a schedule of accruals, which will be sent to the Finance Manager for approval. After obtaining the Finance Manager's approval and incorporating any changes, a journal voucher will be raised and posted to record the accruals.
  - At the beginning of the next accounting period, the accrual entry will be reversed upon receiving the invoices/supporting documents, and properly accounted for the concerned supplier/ party throughout creation of a credit note to be attached to the documents then filed serially.
- **Other Expenses**
  - Expenses will be requisitioned through an Expense Requisition Form. This form will be completed by any staff member and signed by the Office Manager/College Dean. The form will indicate the items/service required and justification for the proposed expenditure. When this form is approved, The Finance Manager's final decision will result in any of the following situations:
- **For proposed expenditure below 500 SAR :**
  - The expenditure request is approved with no advance;
  - The expenditure request is approved with advance or
  - The expenditure request is rejected.
- **For proposed expenditure above 500 SAR :**
  - The expenditure request is approved.
  - The expenditure request is rejected. One of the main criteria for sanctioning or rejecting proposed expenditures is the non-availability of budgeted funds. If the available budget limit is insufficient, the finance management will reject the proposed expenditure prior to being received by the Stores (if available in stores) or the operation and maintenance department (if not available in stores and needs to be purchased). In case the requisition is of high necessity and critical for running the operations, it should be approved by higher management authorities based on recommendation from the Budget Committee then it can be processed.
- **Rejected Expenditures**
  - The Financial Manager (after considering the Budget Section's feedback) will indicate his/her reasons for rejecting the request for the proposed expenditure. Expenditures that have not been approved will be considered at either a later date or the following period when budgeted funds are available.

### 5. Related Policies/ Documents/ Forms

DAU 8-3 Procurement and Inventory Control Policy  
DAU 8-4 Cash Management Policy  
DAU 8-5 Fees collection and refund Policy  
DAU 8-6 Budget Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 8-3 Procurement and Inventory Control Policy

| Policy Code  | Policy Name                              |                    |  |
|--|--|--------------------|--|
| DAU 8-3  | Procurement and Inventory Control Policy |                    |  |
| Responsible Executive  | Current Revision Date                    | Next Revision Date |  |
| - Finance Department<br>- Operation and Maintenance Department | 10/ 2023                                 | 10/2027            |  |

### 1. Policy Purpose

The purpose of this Purchasing and Inventory Control Policy is to establish guidelines and procedures for the procurement and management of inventory for DAU. This policy aims to ensure that purchases and inventory management are conducted in a transparent, efficient, and cost-effective manner, while adhering to relevant laws, regulations, and ethical standards.

### 2. Policy Scope

This policy applies to all departments and employees of DAU involved in the procurement and management of the inventory. This includes purchasing of goods, services, and equipment, as well as inventory management, tracking, and reporting.

### 3. Policy Statement

DAU is committed to responsible procurement and inventory management practices that prioritize value for money, transparency, and accountability. The university seeks to obtain the best possible goods, services, and equipment at the most favorable terms, while also ensuring compliance with applicable laws, regulations, and ethical standards. The financial manager shall maintain the highest ethics in business relationships with vendors and their representatives, purchase only from reliable, responsible vendors.

Purchasing processes shall be made based on competitive bids or competitive sealed proposals whenever possible and practicable. Purchasing of goods and services shall be made to provide the best value for DAU Stakeholders. The financial manager shall make purchase agreements before the beginning of the academic year whenever possible and by holding the number of vendors and individual orders to a minimum; all invoices should be cleared in time to take advantage of cash discounts.

### 4. Policy Procedure

#### Procurement/ Purchasing Process

- All procurement activities shall be conducted through a competitive and transparent process, such as soliciting multiple quotes or issuing requests for proposals.
- The procurement process shall include steps such as identification of procurement needs, preparation of procurement plans, selection of procurement methods, issuance of procurement documents, receipt and evaluation of bids or proposals, and award of contracts or purchase orders.
- DAU shall maintain procurement records, such as procurement plans, procurement documents, bids or proposals, evaluation reports, and contract or purchase order documents, in a systematic and organized manner, in accordance with applicable laws and regulations.
- The procurement process shall be conducted by qualified and authorized personnel who have the necessary knowledge, skills, and expertise in procurement, and who adhere to the principles of integrity, confidentiality, and conflict of interest.
- Purchases exceeding a certain limit, as determined by the university's financial policies, shall require prior approval from designated personnel.
- Contracts and purchase orders shall be in writing and include all relevant terms and conditions.

#### Purchasing process in DAU depending on the following criteria:

- **Ethics:** ensuring the highest ethics in business relationships with the vendors and their representatives, and to purchase only from reliable, responsible vendors, through offering efficient and timely service to all concerned.
- **Local Vendor/Competitive Bids or Proposals or Responses to Requests for Qualifications:** Purchases shall be made based on competitive bids or competitive sealed proposals whenever possible and practicable, or as otherwise permitted by statute.
- **Best Value:** Purchase of goods and services shall be made to provide the best value for DAU.
- **Quality:** Purchases shall be qualified to its usage.
- **Accounting:** Accounting processes should be simplified by making purchase agreements before the beginning of the school year whenever possible and by holding the number of vendors and individual orders to a minimum; all invoices should be cleared in time to take advantage of cash discounts.
- **Purchases above 10,000 SAR:** For purchases of services or inventory of SAR10,000 and above, the office of administrative and financial services shall invite quotations from at least three licensed providers/suppliers. The final decision on the awarding of the contract will be made by the Executive Director or his designated person and be determined by factors such as quality of services, pricing, reputation of supplier etc.

#### Inventory and Stores Management

- All inventory items, including supplies, equipment, and other assets, shall be accurately recorded and tracked in the university's inventory management system.
- The inventory management system shall be regularly updated to reflect changes in inventory levels, such as purchases, transfers, and disposals.
- Inventory levels shall be regularly reviewed and adjusted to optimize stock levels, minimize obsolescence, and prevent stockouts or overstocks.
- Proper storage and handling procedures shall be followed to prevent damage, loss, or theft of inventory items.
- Regular physical inventory counts shall be conducted to reconcile the inventory records with the actual stock on hand.
- Any discrepancies in inventory counts shall be promptly investigated and resolved.

#### Inventory control

- **Equipment/facilities responsibility**  
Department chairs and unit managers are responsible for the equipment in their departments and shall periodically complete physical inventory checks.
- **Removal from designated area**  
No item of equipment/furniture may be moved without the approval of the department chair or unit manager.
- **Report of loss**  
Loss of equipment should be reported immediately by phone to the manager for administrative and financial services and to campus security. The department chairs and unit managers reporting the loss should write up a report which summarizes the circumstances of the loss, as well as the date and which requests that the lost item be removed from the inventory accountability records for the department.

#### Compliance

- All procurement and inventory management activities shall comply with applicable laws, regulations, and university policies.
- Any conflicts of interest among university employees involved in the procurement or inventory management process shall be disclosed and managed in accordance with the university's conflict of interest policy.

- Any suspected fraudulent or unethical activities related to procurement or inventory management shall be reported to the appropriate university officials for investigation and appropriate action.

#### Documentation and Reporting

- All procurement and inventory management activities shall be documented and maintained.
- Reports on procurement and inventory management activities, including purchasing trends, inventory turnover, and stockouts, shall be regularly reviewed and analyzed to identify opportunities for improvement and cost savings.
- Any exceptions or deviations from this policy shall be documented, justified, and reported to the appropriate university officials for review and approval.

#### 5. Related Policies/ Documents/ Forms

DAU 4-14 Conflict of Interest Policy  
DAU 8-2 Financial Policy  
DAU 8-6 Budget Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 8-4 Cash Management Policy

| Policy Code           | Policy Name            |                    |  |
|-----------------------|------------------------|--------------------|--|
| DAU 8-4               | Cash Management Policy |                    |  |
| Responsible Executive | Current Revision Date  | Next Revision Date |  |
| - Finance Department  | 10/ 2023               | 10/2027            |  |

### 1. Purpose of Policy

This Policy establishes guidelines and procedures for the efficient, secure, and effective management of cash and cash-related activities at DAU. This policy aims to ensure that the university maintains proper control over its cash resources, minimizes the risk of fraud or theft, and optimizes cash flow management to support its financial operations and objectives.

### 2. Policy Scope

This policy applies to all departments, employees, and stakeholders of DAU who handle or who are responsible for cash-related activities. This includes cash receipts, cash disbursements, petty cash, cash deposits, bank reconciliations, and other cash-related transactions.

### 3. Policy Statement

The university acknowledges that cash is a valuable and vulnerable asset that requires proper control and management to minimize the risk of loss or misuse. The university is committed to complying with applicable laws, regulations, and internal policies related to cash management, and strives to optimize cash flow management to support its financial operations and objectives.

### 4. Policy Procedures

#### Cash Receipts

- All departments and employees handling cash receipts shall follow established procedures for recording, verifying, and depositing cash receipts in a timely manner.
- Cash receipts shall be deposited promptly into the designated university bank accounts, and proper documentation shall be maintained for all cash receipts.
- Cash receipts shall be reconciled with corresponding revenue records and reported to the appropriate university officials for further review and verification.

#### Cash Disbursements

- All requests for cash disbursements shall be supported by appropriate documentation, such as invoices, purchase orders, or other authorized forms.
- Cash disbursements shall be approved by designated university officials according to established authorization limits and procedures.
- Cash disbursements shall be made through secure and approved methods, such as checks, electronic transfers, or other authorized means, and proper documentation shall be maintained for all cash disbursements.

#### Petty Cash

- Petty cash funds may be established in designated departments or locations for small, authorized cash transactions.
- Petty cash funds shall be properly secured.

- Petty cash transactions shall be supported by appropriate documentation and recorded accurately, and it can be replenished and reconciled periodically according to established procedures.

### Cash Deposits

- Cash deposits shall be made promptly into the designated university bank accounts and in compliance with applicable banking regulations and procedures.
- Cash deposits shall be properly documented and recorded accurately, and appropriate controls shall be in place to safeguard against loss or theft during the deposit process.

### Bank Reconciliations

- Bank reconciliations shall be performed on a regular basis by designated university officials to ensure that all cash transactions are properly documented, recorded and accounted for.
- Discrepancies or irregularities identified during bank reconciliations shall be promptly investigated and resolved, and appropriate corrective actions shall be taken to prevent recurrence.

### Cash Flow Management

- The university shall maintain effective cash flow management practices to optimize the use of cash resources and ensure that sufficient cash is available to meet operational and financial obligations.
- Cash flow forecasts shall be prepared and monitored regularly, and appropriate measures shall be taken to manage cash inflows and outflows effectively, such as managing payment terms, negotiating favorable banking arrangements, or implementing cash concentration techniques.

### Compliance

- All departments and employees of the university shall conform to this Cash Management Policy and associated procedures, any incidents related to Cash management shall be reported to the officials in DAU.

### 5. Related Policies/ Documents/ Forms

DAU 8-2 Financial Policy

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 8-5 Fees collection and refund Policy

| Policy Code           | Policy Name                       |                    |  |
|-----------------------|-----------------------------------|--------------------|--|
| DAU 8-5               | Fees collection and refund Policy |                    |  |
| Responsible Executive | Current Revision Date             | Next Revision Date |  |
| Finance Department    | 10/ 2023                          | 10/2027            |  |

### 1. Purpose of Policy

This Policy establishes a clear and transparent framework for the collection and refund of fees at DAU. It aims to ensure fair and consistent practices in collecting fees from students, handling refunds, and resolving disputes related to fees and it provides guidance to DAU employees and students on the procedures and requirements for fees collection and refunds. It covers the entire process of fees collection, including payment methods, deadlines, refunds, and dispute resolution related to fees.

### 2. Policy Scope

This policy applies to all departments, colleges, employees, and students of DAU, and to all services offered by the university that require payment of fees.

### 3. Policy Statement

DAU is committed to transparent and fair practices in collecting fees from students and handling refunds in accordance with applicable laws, regulations, and best practices. DAU recognizes the importance of clear and consistent policies and procedures for fees collection and refunds to ensure students' understanding of their financial responsibilities and to maintain their trust in the university. DAU strives to provide accurate and up-to-date information regarding fees, payment methods, deadlines, and refund processes to all stakeholders involved.

### 4. Policy Procedures

#### Fees Collection

- DAU shall provide clear and transparent information to students regarding the fees of their programs, courses, and services, including tuition fees, registration fees, examination fees, and other applicable fees.
- The university shall establish and communicate deadlines for fees payment, including due dates, late payment fees, and consequences of non-payment.
- DAU shall provide multiple payment methods, such as online payment, bank transfer, and in-person payment options, to facilitate convenient and secure fees collection.
- DAU shall maintain accurate records of fees collected and shall provide students with receipts or confirmation of payment for their records.

#### Refund

- The university shall have a clearly defined refund process that outlines the circumstances under which students may be eligible for refunds, such as withdrawal from a program, course cancellation, or other valid reasons.
- The refund process shall specify the timeline and process for requesting a refund, including the required documentation, deadlines, and contact information for submitting refund requests.
- The university shall process refund requests in a timely manner and shall communicate the outcome of the refund request to the student in writing.

- The university may deduct applicable administrative fees or non-refundable charges as per the refund policy and applicable laws and regulations.

#### Refund of tuition fees

- In the case of withdrawal before the end of the first week, 25% will be deducted from the tuition fees paid.
- Before the end of the second week, 50% will be deducted from the tuition fees paid.
- No refund of the tuition fees paid after the end of the second week.

#### Dispute Resolution

- The university shall establish a process for resolving disputes related to fees, including disputes regarding fees collection, refunds, or other fee-related matters.
- The dispute resolution process shall be fair, transparent, and accessible to all students, and shall be communicated to students through official university channels.
- The university shall designate a responsible department or individual to handle fee-related disputes and provide timely and appropriate responses to students' concerns.
- If a dispute cannot be resolved through the internal dispute resolution process, students may be directed to relevant external agencies or authorities for further resolution.

#### Compliance

- All university employees involved in fees collection, refund processing, and dispute resolution shall adhere to this policy and follow the established procedures and timelines.
- The university shall comply with all applicable laws, regulations, and guidelines related to fees collection and refunds, including local, state, and federal laws.
- The university shall regularly review and update its fees collection and refund policy to ensure compliance with changing laws and regulations, and to improve its practices based on feedback and best practices.

#### Communication and Publishing

- The university shall communicate this policy and its procedures to all students through official university channels, such as the website, student portal, and student handbook.

#### 5. Related Policies/ Documents/ Forms

DAU 5-5 Finance and Discounts Policy  
DAU 8-2 Financial Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 8-6 Budget Policy

| Policy Code           | Policy Name           |                    |  |
|-----------------------|-----------------------|--------------------|--|
| DAU 8-6               | Budget Policy         |                    |  |
| Responsible Executive | Current Revision Date | Next Revision Date |  |
| - Finance Department  | 10/ 2023              | 10/2027            |  |

### 1. Purpose of Policy

This Policy establishes a framework for effective and responsible budget management at DAU. Also, it ensures that the university's financial resources are allocated in a strategic, transparent, and accountable manner to support its mission, goals, and priorities. It provides guidelines and procedures for budget development, monitoring, reporting, and accountability.

### 2. Policy Scope

This policy applies to all departments, employees, and decision-makers involved in the budget management process at DAU, including senior management, finance and accounting staff, department heads, and budget holders. It covers all aspects of budget management, including budget planning, development, monitoring, reporting, and accountability.

### 3. Policy Statement

DAU is committed to sound financial management practices, including effective budget planning, development, monitoring, and reporting. The university recognizes the importance of aligning its budget with its strategic goals, priorities, and available resources, and ensuring that budget decisions are made in a transparent, accountable, and responsible manner.

The university strives to promote a culture of fiscal responsibility, efficiency, and effectiveness in all aspects of its budget management.

This policy provides guidelines for DAU budgetary processes. It clarifies the roles of Finance management in setting and approving the suggested budgets. This policy aims to formulating a budget that facilitates the implementation of the strategic goals of DAU, maintaining an annual balanced and transparent budget, and ensuring that the spending on different operating activities is within the available budget funds.

### 4. Policy Procedures

#### Budget Planning and Development

- The university shall develop an annual budget planning process that includes the identification of strategic goals, priorities, and resource requirements.
- The budget planning process shall involve input from relevant stakeholders, including department heads, budget holders, and the Executive Director, to ensure alignment with the university's mission, goals, and priorities.
- The budget planning process shall consider the available financial resources, such as revenues, grants, endowments, and other funding sources, as well as projected expenses, such as salaries, benefits, operating expenses, and capital expenditures.
- The budget planning process shall include a review of historical financial data, financial projections, and other relevant information to inform budget decisions.
- The university shall establish clear procedures for budget development, including the documentation of budget assumptions, estimates, and justifications, as well as the approval process for budget proposals.



### Budget Monitoring and Reporting

- The university shall establish a system for monitoring budget performance on an ongoing basis, including regular review of actual financial results against budgeted amounts.
- Budget holders shall be responsible for monitoring their respective budgets and reporting any significant deviations from the approved budget to the financial department.
- The financial department shall provide regular budget reports to senior management and other relevant stakeholders, including variances between actual and budgeted amounts, explanations for significant variances, and any corrective actions taken.
- Budget reports shall be transparent, accurate, and timely accurate. They shall be communicated to relevant stakeholders in a format that is understandable and accessible.

### Budget Accountability:

- Budget holders shall be accountable for managing their budgets in accordance with the approved budget and the university's financial policies and procedures.
- Budget holders shall seek appropriate approvals for budget modifications or reallocations and shall provide justifications and documentation for any changes.
- The financial department shall conduct periodic audits of budget utilization to ensure compliance with approved budgets and financial policies.
- Any deviations from the approved budget shall be documented and reported to the Executive Director, along with explanations and corrective actions taken.

### Budget Review:

- The university shall conduct periodic reviews of its budget performance and effectiveness in achieving its strategic goals and priorities.
- The budget review process shall involve input from relevant stakeholders, including senior management, department heads, budget holders, and other key decision makers.
- Based on the budget review findings, the university may revise its budget allocations, reallocate resources, or adjust its budgeting processes to better align with its strategic goals and priorities.

### Compliance:

- All university employees involved in the budget management process shall adhere to this policy and follow the established procedures and timelines.

### Role and responsibilities of Finance Department in setting the DAU budget

The Finance Department will:

- Oversee and control the revenues and expenditures according to the approved budget and provides recommendations on budgetary amendments and revisions throughout the fiscal year.
- Prepare budget documents for monitoring and controlling the University's ongoing operations so that revenues and expenditures remain within the approved appropriations and the spending policies and procedures of DAU.
- Review the historical trends and analyzing performance reports to recommend the relevant spending levels.
- Prepare and analysis of performance reports related to budget implementation.
- Promote fiscal responsibility within DAU Community by providing technical assistance and analysis in planning, administering, and monitoring the budget process.
- Process of all personnel related requirements in conformity with the approved manpower budget and position allocations.
- Provide quarterly reports to outline actual performance against budget to the Chief Operation Officer for review and relevant directions.

## Budgeting Process in DAU

The following section shows how DAU Finance Department do the Budgeting Process in detail:

- **DAU Budget Model and System**  
The annual budget involves input from key constituencies including the top management, office managers, college deans and other responsible personnel in DAU. The Budget is finally approved by the Board of Trustees. The annual budget determination facilitates the achievement of short and long-term plans, and all estimates shall be based on clear and relevant assumptions that reflect both internal and external factors.
- **Budget Model**  
To ensure effectiveness of the budget formulation process, DAU adopts the Zero-Based Budgeting Model wherein at the beginning of every budget planning period, the previous year's budget for each unit is cleared. Every part of the institution must request funding levels, and all spending must be re-justified. This allows a clear view of every single activity and spending needs to ensure transparency and compliance with the strategic priorities of DAU.
- **Budget Flexibility**  
DAU 's budget is flexible, adjustments in the approved budgets according to changes in internal or external circumstances can be implemented to re-prioritize the needs of the working dynamic environment in DAU.
- **Initial Budget Proposal**  
An initial budget plan shall include revenue and expenditure estimates developed by the college or office for the fall, spring and summer semesters and includes the following categories:
  - Operational Revenue Budget.
  - Faculty Members Budget.
  - Administrative Staffing Budget.
  - Other Operational Expenditure Budget.
  - Capital Expenditure Budget.
  - Other Operational Revenue Budget.
- **Contingency Reserve/ Funds**
  - DAU maintains a separate contingency fund to cover the costs of compensating and/or transferring students to other learning providers.
  - The contingency fund can be created to:
    - manage income and expenses for a specific activity outside the normal operating budget.
    - cover unbudgeted events or to fund strategic one-time investment.
  - The contingency reserve can be used to fund resolving temporary problems resulting from unexpected circumstances or events, but not structural financial issues.
- **Practicality of Budget Estimates**
  - All revenues from all colleges and other activities of DAU and expense shall be based on clear assumptions that reflect a systematic methodology of estimation of the major/ learning accounts. When these estimations are impractical for some incidents and activities in DAU such as: medical insurance, training, exemptions, other operating revenues, air tickets, these can be estimated based on the historical trends as percentages from the learning key accounts.
- **Control over Expenditures**
  - The ultimate responsibility for approving and controlling expenditures rests with the Finance Management.

- DAU operates in accordance with the set policies and procedures to ensure the full control over purchasing and manpower management.
- *Fund Transfer*
  - In case where financial allocations are insufficient to cover requested expenses, the respective unit can send a request to the Finance Management for transfer between different budget line items within the approved annual budget, while clarifying the motives for such a transfer.
  - Transfers can only occur within the same categories in terms of financial classification, such as operational, capital or manpower related expenses; avoiding any overlap between such categories, unless otherwise decided by the Executive Director.
  - The total value of transfer requests among expenditure items shall not exceed 25% of the total approved expense allocations.
  - In certain justifiable situations, budget funds can be transferred between different units (i.e., colleges, offices), if it is approved by the Chief Executive Director.
- *Budget Addition Requests*
  - Unless there is an ability to transfer between the budget line items of a specific unit as approved in the annual budget, the concerned college or office can submit a request for additional budget allocations to the budget while clearly stating the reasons for such additions.
  - The request will be carefully reviewed by the Finance Management, and a recommendation for approval is then submitted to the higher management if the request is found reasonable and implies circumstances which are out of control. The budget addition request can be approved by the Finance Management if the requested expenses generate an additional revenue not budgeted for (i.e., event or activity).
  - In case the additional expense does not result in generating additional revenue, then the request shall be approved by the Board of Trustees. Once approved, the requested additional funds shall be included in the supplementary budget and then passed to the appropriate office for execution.
- *Recruitment of Faculty Member*
  - Colleges/Offices fill appropriate staff Recruitment requests.
  - Requests for recruitment of faculty members are made based on the academic ranks and types of contracts as approved in the annual budget, using specific recruitment budget forms.
  - The Finance Management reviews these forms, approves the budgeted ones, and forwards them to the Office of Human Resources to proceed with the hiring process.
- *Administrative Staff Recruitments*
  - Requests for recruitment more than the budgetary limits require the approval of the Executive Director, provided that such requests are necessary and can be covered by other budget allocations (transfers).
  - Once approved, the request shall be incorporated in the supplementary budget forms and then passed to the Human Resources department for execution.

## 5. Related Policies/ Documents/ Forms

DAU 4-14 Conflict of Interest Policy  
DAU 8-2 Financial Policy  
DAU 1-10 Proactive Policy

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 8-7 Financial Risk Management Policy

| Policy Code           | Policy Name                      |                    |  |
|-----------------------|----------------------------------|--------------------|--|
| DAU 8-7               | Financial Risk Management Policy |                    |  |
| Responsible Executive | Current Revision Date            | Next Revision Date |  |
| Finance Department    | 10/2023                          | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this Policy is to provide overarching principles for financial risk management in DAU.

### 2. Policy Scope

This policy applies to all financial processes in DAU.

### 3. Policy Statement

This policy serves as a comprehensive framework that identifies, evaluates, and mitigates the negative impact of different sources of financial risks, which may expose the University to potential losses of financial resources or fluctuation of financial performance. Therefore, a structured methodology is established and adopted to regularly identify such risks, evaluate the negative financial impact of certain events, and to decide their significance which will lead to adopting the best risk mitigation options to deal with such risks.

### 4. Policy Procedures

#### Risk Identification: DAU shall identify its financial risks

- **Credit Risk:** Credit risk refers to the possibility of a loss resulting from a borrower's failure to repay a loan and meet contractual obligations; this includes the delays in the payment of the loan as well.
- **Liquidity Risk:** Liquidity risk is the risk that the University will encounter difficulties in raising funds to meet its liabilities when they become due.
- **Business Risk:** Business Risk involves the risk of declining revenues due to decrease in number of students or prices, or the uncontrolled increases in expenditures during the normal course of business activities, which will ultimately affect the financial performance and the ability to meet certain requirements to ensure smooth running of operations.

#### Risk Evaluation and Mitigation Methodology

- **Credit Risk**  
Financial assets, which potentially subject the University to concentration of credit risk, consist principally of the current bank accounts and deposits/ saving accounts. The University mitigates its credit risk regarding the bank deposits throughout:
  - Dealing with high credit quality financial institutions, in addition to conducting continuous review of the financial institution's credibility, considering the trade-off between the benefits obtained from dealing with certain financial institution vis-a-vis the credibility risk involved.
  - Extra available funds are invested in short-term fixed deposits that do not exceed 1-year maturities and over several maturity dates carefully distributed across the year to ensure satisfying any urgent cash needs for operational requirements and to avoid liquidating any of the deposits before the maturity date which would lead to losing the expected profit.
  - The University's management is continuously evaluating its investment credit risk to ensure that the credit risk related to bank accounts lies within an acceptable range.

- **Liquidity Risk**

To mitigate such risk, the management should ensure the availability of diversified funding sources along with continuous monitoring of liquidity sufficiency on a regular basis through:

- Cash flows forecasting serves as a key indicator of future cash sufficiency, which helps to provide an early alarm pertaining to any anticipated liquidity problems.
- Cash safety margin must be maintained, that is equivalent to a minimum of 3 times total monthly operating expenses.
- The availability of easily accessible sources of funding, either through equity or debt sources, should be maintained to raise the necessary funds to meet any financial obligations and ensure smooth running of operations. Reliable and sustainable relationships with banks and other financial institutions should be maintained to facilitate providing the necessary funds within a short period.

- **Business Risk**

To avoid the potential negative impact on financial performance and the ability to meet certain requirements, and to ensure smooth running of operations, several approaches and techniques should be adopted by the University's management to mitigate the different types of business risks as follows:

- DAU shall follow a continuous improvement approach to improve the quality of academic programs; studying the dynamic market needs for new knowledge areas and introducing new academic programs that fulfill such needs and guarantees sustainable business growth.
- The planning and budgeting process also help addressing the key business risks involved in different business activities, and the level of uncertainty that is inherent in the planning process.

### Financial Risks Management review and Measuring

DAU controls the financial risk management measures with suitable measurement tools and follow-up to ensure they are working as planned to minimize any expected financial risks.

- **Credit Risk:** Mitigate such risks by:

- Dealing with high credit quality financial institutions, in addition to conducting continuous review of the financial institution's credibility.
- Evaluation -by DAU management- its investment credit risk to ensure that the credit risk related to bank accounts lies within an acceptable range.

- **Liquidity Risk:** Mitigate such risks by:

- Ensuring the availability of diversified funding sources along with continuous monitoring of liquidity sufficiency on a regular basis.
- The availability of easily accessible sources of funding, either through equity or debt sources, should be maintained to raise the necessary funds to meet any financial obligations and ensure smooth running of operations.
- Reliable and sustainable relationships with banks and other financial institutions should be maintained to facilitate providing the necessary funds within a short period.

- **Business Risks:** Mitigate such risks by:

- Following a continuous improvement approach as a methodology to mitigate possible risks by improving the quality of academic programs, studying the dynamic market needs for new knowledge areas.
- Introducing new academic programs that fulfill such needs and stimulate sustainable business growth and planning for this new program financially.

### 5. Related Policies/ Documents/ Forms

NA

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 8-8 Risk Management Framework Policy

| Policy Code                       | Policy Name                      |                    |  |
|-----------------------------------|----------------------------------|--------------------|--|
| DAU 8-8                           | Risk Management Framework Policy |                    |  |
| Responsible Executive             | Current Revision Date            | Next Revision Date |  |
| - Risk Management Committee (RMC) | 10/ 2023                         | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this Risk Management Policy is to establish guidelines and procedures for identifying, assessing, mitigating, and managing risks faced by the DAU. This policy aims to ensure that the university proactively identifies and manages risks that may impact its operations, reputation, and financial stability, to protect the university's interests and stakeholders.

### 2. Policy Scope

This policy applies to all departments, employees, and stakeholders of DAU. This includes all aspects of the university's operations, such as academics, administration, finance, human resources, facilities, information technology, and other areas where risks may arise.

### 3. Policy Statement

DAU is committed to implementing effective risk management practices that facilitate proactive identification, assessment, mitigation, and management of risks to protect the interests of the university and its stakeholders. The university acknowledges that risks are inherent in its operations and aims to minimize the adverse impact of risks through a systematic and proactive approach to risk management. The financial viability of the institution mainly relies on student enrolment. The student enrolment projections, attrition, study progression and their impacts on the institutional budget shall be routinely researched and analyzed. So that DAU sets up the RMC.

### 4. Policy Procedures

The University President sets a target for new enrolment in October for the following academic year, and accordingly marketing and student recruitment activities plan is developed and followed through the entire academic year. The preliminary budget is developed in April based on the projected enrolment, and continually adjusted in line with the dynamics of the enrolment. A final decision on the operational budget is deferred until the beginning of the next academic year when the exact number of enrolments and the resulting revenue become clear. This cautious and calculated approach has minimized the risks of overspending and engaging in risky projects.

The approach is further complemented by the college budget tracking system that is monitored on a weekly basis by the Financial Manager and the University council. The tracking system involves study of the weekly cash flow, comparison of expenditures against the budgeted amount, and the effect of the budget adjustments on the operations of the institution. To ensure further integrity and minimize risks, periodic reports are submitted to the board of trustees. To minimize risks and strengthen financial viability, it is recommended to find ways to expand the institution's funding base via a fundraising strategy that involves alumni in the activities.

The RMC will monitor and follow up the risk management processes in DAU.

The risk assessment process is as follows:

- *Risk Identification:*
  - All departments and employees of the university shall be responsible for identifying and reporting potential risks related to their respective areas of responsibility.

- Risk identification shall be an ongoing process that includes regular assessments of internal and external factors that may pose risks to the university's operations, reputation, and financial stability.
- Risk identification shall be documented and reported to the designated risk management personnel for further assessment and action.
- **Risk Assessment:**
  - Identified risks shall be assessed for their likelihood, potential impact, and severity using a standardized risk assessment framework or methodology.
  - Risk assessments shall be conducted by designated risk management personnel, who shall analyze the identified risks and determine their significance to the university.
  - Risk assessments shall consider the potential consequences of risks, as well as the effectiveness of existing controls and mitigation measures.
  - Risk assessments shall be documented and reported to the appropriate university officials for further action.
- **Risk Mitigation:**
  - Based on the results of risk assessments, appropriate mitigation measures shall be developed and implemented to reduce the likelihood and potential impact of identified risks.
  - Risk mitigation measures may include implementing or enhancing internal controls, developing contingency plans, transferring risks through insurance or other contractual arrangements, or taking other actions to mitigate risks.
  - Risk mitigation measures shall be documented and implemented in a timely manner, and their effectiveness shall be monitored and reviewed regularly.
- **Risk Management Monitoring and Reporting:**
  - The effectiveness of the risk management process shall be monitored and reviewed regularly by designated risk management personnel or committees.
  - Risk management reports shall be provided to the appropriate university officials and stakeholders on a regular basis, highlighting the identified risks, their assessment, mitigation measures, and progress towards risk mitigation.
  - Any significant changes in the risk management process, such as new risks emerging or changes in the severity of identified risks, shall be promptly reported, and addressed through the risk management process.
- **Compliance:**
  - All departments and employees of the university shall comply with this Risk Management Policy and associated procedures and any concerns or incidents related to risks shall be promptly reported to designated risk management personnel for appropriate action.
- **Review and Update:**
  - This Risk Management Policy shall be reviewed and updated periodically to ensure its continued effectiveness and alignment with the university's goals and objectives.
  - Any changes to the risk management policy or procedures shall be communicated to all relevant departments and employees, and appropriate training or guidance shall be provided as needed.

## 5. Related Policies/ Documents/ Forms

[Risk Management Policies and Procedures](#)  
[DAU Risk Management Plan.pdf](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



# DAU 9.0 Public Disclosure and Integrity Policies



## DAU 9-1 DAU research intellectual policy

| Policy Code   | Policy Name                      |                    |  |
|---|----------------------------------|--------------------|--|
| DAU 9-1   | DAU research intellectual policy |                    |  |
| Responsible Executive   | Current Revision Date            | Next Revision Date |  |
| - General Directorate of Scientific Research and Innovation<br>- Scientific Research & Innovation Committee (SR&CI) in the colleges | 10/2023                          | 10/2027            |  |

### 1. Policy Purpose

This policy provides guidance on the practice of intellectual property, its ownership, exploitation, and specific related procedures adopted with DAU.

### 2. Policy Scope

This policy is for all DAU academic staff who are authorized to conduct scientific research and also for Undergraduate and Postgraduate students.

### 3. Policy Statement

DAU distinguishes that Intellectual property rights have a significant role to provide new scientific and Technological information from DAU to the External community in Saudi Arabia.

**Intellectual Property:** Intellectual Property means intangible rights to all new search of ideas, discoveries, knowledge, know how, methods, processes and other innovative or creative work. Intellectual property rights are safeguarded by various laws, codes, and treaties.

### 4. Policy Procedure

*Ownership and Funding:* All proposals of intellectual property by DAU faculty members, students and any associates must be approved in advance by DAU Scientific Council. The proposal must be written and include the details of various aspects of research. All research work should be recognized for community benefits.

Intellectual Property generated within DAU will be owned by DAU unless an exceptional agreement has occurred if an external fund for the intellectual property/ research proposal is maintained. DAU has external contracts where the university may provide financial support. These commitments and contracts must be clearly recognized.

- **Research Intellectual Property Agreements:**  
All individuals subject to this research intellectual property policy, including but not limited to faculty staff, students, and postdoctoral students, must sign DAU intellectual property and confidentiality agreement prior to conducting any research on behalf of DAU University, whether under a sponsored research agreement or with the significant use of funds or facilities managed by DAU "Intellectual Property Agreement". By signing the Intellectual Property Agreement, these individuals agree to promptly execute and deliver all their research/intellectual property documents.
- **Disclosure** of intellectual property made by the members of DAU Community is a mandatory requirement which must be disclosed to the Head of the Scientific Council. The disclosure must be made immediately with all relevant information's mentioned by the researchers.

- **Declarations of documents:** The set of declaration documents mandatory filled by the researchers to ensure certifying for their intellectual property research work and its authenticity.
- **Commercialization & copy right:** DAU will have the “first right of refusal” on commercialization of any specific IP created through DAU research projects. Any researcher in DAU community should consult the Scientific Council and get prior approval for commercialization before submitting for publication. The disclosure ensures that:
  - No patents rights are compromised.
  - It is authentic and genuine work not only for the purpose of commercialization.
  - It does not contain any issues regarding copyright.
- **Disputes:** All potential disputes related to intellectual property ownership and any other issue or concern related to Intellectual property shall be reported and resolved under the Scientific Council Supervision.
- **Exceptions:** The Scientific Council and the University Council of DAU headed by the President have the right to take decisions based on any external circumstances/situations not stated in this policy.

### 5. Related Policies/ Documents/ Forms

DAU 10-3 DAU's Research Ethics

### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes   |
|---------|------------------|---|
| 1       | 11/2018          | 1 <sup>st</sup> issue of the policy   |
| 2       | 10/2023          | <ul style="list-style-type: none"> <li>• Policy Purpose and Scope are modified and added.</li> <li>• comprehensive change in the policy procedure.</li> </ul> |

## DAU 9-2 DAU Publication policy

| Policy Code                     | Policy Name            |                    |  |
|---------------------------------|------------------------|--------------------|--|
| DAU 9-2                         | DAU Publication policy |                    |  |
| Responsible Executive           | Current Revision Date  | Next Revision Date |  |
| Public Relation (PR) Department | 10/2023                | 10/2027            |  |

### 1. Policy Purpose

This policy guarantees the quality of all printed materials that represent DAU, also it ensures that the content provided by the university is consistent across all media and production processes. This policy covers all aspects of maintaining, publishing, and archiving DAU general publications, including catalogs, handbooks, brochures, announcements, invitations, newsletters, advertising, and website content.

### 2. Policy Scope

This policy applies to DAU printings, web site and all electronic publications.

### 3. Policy Statement

According to university policy, the Marketing and External Communication (MEC) Department and the Public Relations Department are responsible for:

- Printings,
- digital publications,
- advertising,
- logo and brand identity,
- press releases,
- social media,
- DAU website.

To advance and safeguard DAU brand, no other company or individual may be permitted to publish or distribute any of these previous objects without prior approval. DAU has ensured that all policies and manuals, faculty handbooks, student handbooks, brochures, and website are updated and kept up-to-date.

The following sections present and describe in detail the ways through which the university publishes its information to the university community and to the external public community.

### Printing and Publishing

All University published or reproduced material must be coordinated through both the External Communication Department and the Public Relations Departments. This includes the publication or printing material used for internal or external distribution to provide information about the University or promote its programs, activities, and services. Periodicals, press reports, manuscripts, brochures, and booklets that carry the official pronouncements of rules and regulations from the university fall under this category, but they are not the only ones.

Additionally, the Two Departments serve as the exclusive point of contact for printing any additional printed papers as well as University stationery goods like letterhead, envelopes, and business cards.

For all institutional documents such as Catalogues, Manuals, and Handbooks, the University Council approves handbooks containing policies and procedures, such as Faculty Handbook and Student Handbook. However, other handbooks pertaining to colleges and units are approved by the Head of the unit or the College Dean.

The Two departments are also responsible for updating the printed versions as well as the material presented on the DAU website prior to being published and made it available in both print and electronic publications to students and faculty staff. Institutional documents are reviewed periodically to ensure their validity and accuracy.

### Advertising

All advertising that includes television, newspapers, radio, magazines, flyers, and posters; must comply and be based on templates and formats made available by Marketing and External Communication (MEC) Department and the Public Relations (PR) Departments. When they deal with External agencies, they have the authority to decline or terminate publications of material that does not comply with DAU Publication standards.

### DAU Web-Site

The DAU deans, head of the department, office directors, and managers collaborate with the (MEC) and (PR) to establish websites, design collateral and create the marketing plans for their individual units. DAU website's goal is to deliver high-quality details on the college's mission, educational options, services, academic programs, course content, events, and community offers. DAU maintains a comprehensive student database with contact details and email addresses. Faculty members primarily use emails to communicate with students on advising issues, assignments, course handouts and out-of-class assignments (LMS)

### Social Media

DAU recognizes the role of social media to foster communication and the exchange of information with its community and the public. DAU maintains important postings on its social networks such as Twitter and LinkedIn. For this purpose, DAU authorizes its colleges, departments, and offices to only use its official social media accounts and staff members must not use DAU social media accounts for their own personal benefit and they shall not use their personal social media accounts to give the appearance of officially representing the University.

Whenever social media is used, the following protocol should be observed:

- Conform to best practices and policy usage.
- Clear transparency of position and role of staff at the university
- Confidential or proprietary information about the University, students, employees, or alumni shall not be posted.
- The terms of service of any social media platform shall be observed.

### DAU Logos and Brand Identity

DAU logo is more than a graphic and tagline alone, it is a concept that shapes and defines the University. To ensure consistency in the promotion of DAU, no logo or symbol incorporating the name of the University, colleges, or units can be developed without prior approval from the President to avoid errors and misrepresentation of institutional identity elements. DAU logo should appear on all printings, videos, and electronic media produced by DAU offices.

### Students Handbook

DAU maintains a well-developed student handbook which was recently revised. The handbook contains policies and regulations on student life, activities, services, academic, personal and career path counseling, disciplinary and penalties policies. In addition, the document clearly outlines the student rights and responsibilities and obligations while studying at DAU. The handbook shall also be available in download format on DAU website.

#### 4. Related Policies/ Documents/ Forms

DAU 5-21 Student Communication Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> Issue of the Policy     |

## DAU 9-3 Social media and Communication Policy

| Policy Code                                   | Policy Name                           |                    |  |
|---|---------------------------------------|--------------------|--|
| DAU 9-3                                       | Social media and Communication Policy |                    |  |
| Responsible Executive                         | Current Revision Date                 | Next Revision Date |  |
| -Public Relation Department<br>-IT Department | 10/2023                               | 10/2027            |  |

### 1. Policy Purpose

This policy defines the approved channels and process for delivering any information, news and publicity materials related to the media or to the public. This policy controls how DAU's social media platforms are used for official purposes in an ethical and responsible way. Additionally, users need to be aware of their obligations as representatives of the university and how their activities may enhance or harm the university's reputation and public image. This policy intends to safeguard the University against any unanticipated consequences brought on by the usage of social media on its behalf.

### 2. Policy Scope

This policy is applicable to any official social media activity carried out by users of DAU's social media networks, including but not limited to students, academic and non-academic staff, and other staff members, as well as outside vendors acting as the University's agents.

### 3. Policy Statement

DAU welcomes the development and application of social media as an important tool for worldwide communication. It is crucial that the University establishes clear policies addressing responsible behavior, standards of conduct and expectations that users must abide by when using social media for official purposes given that social media give users a public platform to express themselves. Users must always avoid engaging in any official activity that can damage the university's reputation as any official action on open forums reflects poorly on the institution.

Any non-compliance of this policy and the guidelines outlined in it may be considered misconduct, and staff members and/or students may face disciplinary action.

### 4. Policy Procedure

- Public Relation (PR) Department -with co-operation with IT- is the only authorized unit in DAU permitted to send out news and others to the community public media.
- By channeling the release of information to the media through the Department of Public Relation, DAU can maintain a professional, journalistic communication style in news releases and ensures that these releases are appropriate public image for DAU in the external community these releases also can be strong tool for marketing of DAU.
- Depending on the specific circumstances and in cases of critical significance to DAU, the senior Executive Officer will approve the communication statements for detailed facts of the situation and summarize the university's announcement before releasing the information to the Media.
- The spokesperson for the university will be chosen by the President of DAU. Depending on the specific situation, the President may assign this duty to a suitable staff member. Without the President's permission or delegation, no employee or student may speak on behalf of the university. When participating in public discourse, academic staff members may identify themselves as part of DAU University's academic community.

The head of Public Relations is responsible for:

- facilitating media releases and news stories to the community
- ensuring that the information is delivered appropriately.
- ensuring that the press release's content is written in a professional style.

#### 5. Related Policies/ Documents/ Forms

DAU 5-21 Student Communication Policy

DAU 9-2 DAU Publication policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |

## DAU 9-4 Students and DAU Employees personal Information Release policy

| Policy Code   | Policy Name  |                       |                    |
|---|--|-----------------------|--------------------|
| DAU 9-4   | Students and DAU Employees personal Information Release policy |                       |                    |
| Responsible Executive   |  | Current Revision Date | Next Revision Date |
| -College Coordinators<br>-Deanship of Admission, Registration and Student Affairs |  | 10/2023               | 10/2027            |

### 1. Policy Purpose

This policy gives clear guidelines to faculty staff, and students of DAU who will request some information about DAU.

### 2. Policy Scope

The Policy applies to all institutional data at DAU University and to all faculty staff and students' information at DAU.

### 3. Policy Statement

DAU ensures that releasing any information to the public respects the rights of individual privacy, confidentiality of records, and serves the best interests of students and the institution. Only the Deanship of Admission, Registration and Student Affairs is the Authorized unit to release the students' information.

It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement. Release requests in DAU may be:

- *Internal Requests:* Internal requests are those made by a university office, a university employee, or a university student.
- *External Requests:* External requests are those made by individuals, agencies, groups, or other entities outside of the University or by university members not acting in their official University capacity.

DAU responds to internal and external University data requests. Requests are handled on a case-by-case basis, mainly facilitated by the Authorized unit in DAU.

- Internal University data requests that meet legitimate business purposes shall be directed to the concerned office.
- External requests for quotes, interviews among others, are generally directed to the President to ensure that the quotes and interviews, come from the highest level in the University management. The President may also direct requests to other members as appropriate to strengthen the positioning of individual colleges and/or offices.

DAU can release the students' information in the following cases:

- If it is needed by governmental agencies, verification agencies, parents, other universities, our services providers, Donors, sponsors, and related entities, from time to time if the student approves.
- The college's departments have access to personal information (students' names, addresses, and other contacts) and student transcripts so they can monitor class pass ratios or recognize educational achievement.
- All requests for any students' information must be referred to the Deanship of Admission, Registration and Student Affairs with justification for asking for the students' or employees' information.

- If the student asked for a change in his/ her information, the updating requested by a student must be referred to the Deanship of Admission, Registration and Student Affairs.
- The graduation certificates are the personal property of students. Upon program completion, the certificate is handed directly to the student unless the student authorizes its release in writing to another person or entity.
- The Deanship of Admission, Registration and Student Affairs may publish a list of the academically warned students.

*Students' Information available for release is limited to:*

- Full name
- Address and telephone number
- Degree(s) and date of degree(s) awarded by DAU
- The grade obtained (CGPA)
- Student address and telephone number
- Email address

It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement. To maintain the confidentiality of information and control of secured data, the following guidelines should be taken into consideration:

- Academic advisors have full access and authority to review and obtain students' transcripts, academic status, transactions, and attendance only for students on their advising list.
- An individual faculty member has full access and authority to review and obtain only his/her Course Evaluation Survey results for all courses taught in all semesters.
- Instructors, Course Coordinators, Deans, and Vice deans have full access and authority to review and obtain faculty members' Course Evaluation Survey results only for faculty at their respective colleges.
- College Deans, Vice-deans, Heads of Department have full access and authority to review and obtain students' transcripts, academic status, transactions, and attendance, only for students studying at one of the programs in their colleges.
- All college coordinators and chairpersons have full access and authority to review statistical reports about admission, registration, scheduling, classroom assignments, and graduates of their academic programs.
- The Deanship of Admission, Registration and Student Affairs has full access and authority to review and obtain data about current DAU students and DAU alumni. However, any confidential data about staff members or students could be requested only upon written approval from Top Management. Even in this case, confidential data about individual faculty or staff members or students including their performance evaluation results should not be disclosed.
- All administrative units have the right to request, in writing, suitable statistical reports about admission, registration, scheduling, classrooms assignments, and graduates.
- These requests must not include any confidential data about any person. However, confidential data can be provided with the written approval of the President.

#### 4. Policy Procedures

Requests for accessing private information of faculty members and students will follow the procedure below:

- The requestor contacts the coordinator of the college with the request.
- The coordinator forwards the request to the Deanship of Admission, Registration and Student Affairs.
- The Head of Deanship of Admission, Registration and Student Affairs reviews the request for compliance with this policy and approves the request.
- The Deanship of Admission, Registration and Student Affairs forwards approved requests to the Head of IT Department, who will provide the data requested (if available) to the office of the Deanship of Student Affairs.
- Due to the sensitivity of such requests, it is crucial that the parties involved in this process do not disclose any information.



- External Requests for access to information will follow the procedure below:
- When the University Data is required for the outside community, the MOE regulations and university policies must be followed.
- Employees of the University may only share some of the University information to a Third party that is Publicly Available unless they have the consent of the individuals whose information is being requested.
- The Public Relations Department should be contacted with any information requests from the media as they will oversee coordinating the response.
- All requests for educational records should be forwarded to the appropriate office.

#### 5. Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the Policy     |



# DAU 10.0 Research and Scholarly Activities Policies

## DAU 10-1 DAU's External Research and consultation Policy

| Policy Code  | Policy Name                               |                    |  |
|--|---|--------------------|--|
| DAU 10-1   | External Research and consultation Policy |                    |  |
| Responsible Executive  | Current Revision Date                     | Next Revision Date |  |
| -General Directorate of Scientific Research and Innovation.<br>- Center for Entrepreneurship, Innovation, and Knowledge Transfer (CEI&KT). | 10/2023                                   | 10/2027            |  |

### 1. Policy Purpose

The aim of this policy is to establish external research and consultancy services and to engage with industry more actively. This promotes the University's Research Policy as well as ensuring relevance of research and increasing revenue.

### 2. Policy Scope

The policy applies to all research and consultancy contracts signed by the university with external partners under the supervision of Center for Entrepreneurship, Innovation, and Knowledge Transfer (CEI&KT).

### 3. Policy Statement

#### Definitions:

Contract research and consultancy services: they are research and consultancy services commissioned and funded, in whole or in part, by an external organization (private, public, etc.).

*All contracts have the following characteristics:*

- In every contract, specific stipulations and conditions are outlined, as agreed by all contracting parties.
- Work to be performed on a set schedule.
- Defining deliverables and due dates.
- The establishment of ownership, patent rights, and licensing agreements. A provision for confidentiality of information provided and created during the project's performance.
- Establishment of budget approval and payment schedules.
- A set of considerations for accepting and/or terminating the contract.
- A limitation of liability, indemnity, and any other matters appropriate to the circumstances.

*General Guidelines:*

- Externally funded work contributes to and enhances the academic endeavors of the University, and academic staff should be encouraged to practice their discipline and support staff should be encouraged to use their expertise, where appropriate.
- Governing and managing contracts with external partners is the responsibility of the Center for Entrepreneurship, Innovation, and Knowledge Transfer (CEI&KT).
- CEI&KT must ensure that a professional and quality service is always provided, while minimizing legal and financial risks to the University.
- CEI&KT must consider all costs associated with a proposed project (directly or indirectly) when discussing proposed projects with potential partners.

- CEI&KT will sign/conclude any contracts, proposals, tenders, quotations, MOUs and agreements after obtaining DAU management approval, as well as specific arrangements with the relevant academic and administrative structures of DAU.
- To protect confidential information provided by Clients, CEI&KT must sign confidentiality and non-disclosure agreements.
- CEI&KT must obtain DAU's approval for project value based on budgets that include cost recovery, fees levied, and profits and sharing thereof, where applicable.
- In compliance with the University Intellectual Property Policy, intellectual property may not be transferred or promised to third parties without the specific written approval of CEI&KT.

#### 4. Policy Procedures

- CEI&KT is responsible for reviewing, drafting, and negotiating all contracts for Research and Consultancy Services on behalf of the University.
- CEI&KT will ensure that the Research or Consultancy Agreement complies with all relevant University policies and guidelines, in consultation with the principal investigator ("PI").
- CEI&KT will notify the relevant DAU's unit promptly of any upcoming research or consultancy projects. It would include the subject/title of the project, the name of the sponsor(s), and the expected start and end dates.
- The CEI&KT will work with the potential principal investigator (PI) to define a scope of work for the project, detailing the objectives, the schedule, deliverables/milestones, as well as the budget for the project.
- CEI&KT must complete an appropriate internal approval form and obtain signatures from all levels of DAU. Details must be provided regarding the demands that the project will place on university facilities, services, and equipment. The project should obtain all necessary certifications pertaining to human and animal research. The project PI must ensure that all levels of the university are informed about the project and accepted it. All internal approvals should be complied with and received by CEI&KT prior to contract signing.
- CEI&KT prepares and issues a "Contract Data Sheet", summarizing the project timelines, funding, technical reporting, and financial schedules, and the finance department opens a fund for the project.
- The finance department shall ensure that invoices are issued, and payments are collected in accordance with contracts.
- It is CEI&KT's responsibility to ensure timely delivery of expected deliverables, to resolve any problems that may arise during the term of a Research or Consultancy Contract, and to negotiate any required amendments.

#### 5. Related Policies/ Documents/ Forms

DAU 4-12 University Consultancy Services Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 10-2 DAU's Research Projects Funding Policy

| Policy Code  | Policy Name                            |                    |  |
|--|--|--------------------|--|
| DAU 10-2   | DAU's Research Projects Funding Policy |                    |  |
| Responsible Executive  | Current Revision Date                  | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- The General Directorate of Scientific Research and Innovation</li> <li>- The Research Support Unit</li> <li>- Scientific Research and Innovation Committees at the College level</li> </ul> | 10/2023                                | 10/2027            |  |

### 1. Policy Purpose

DAU's Research Projects Funding Policy supports original and innovative research projects published in high impact journals. This promotes quality research outcomes and stimulates the research environment.

### 2. Policy Scope

This policy applies to all full-time faculty members and students.

### 3. Policy Statement

- A principal researcher must be a full-time faculty member with a doctoral degree and at least an Assistant Professor rank at the university.
- All members of the research team are faculty members or students at DAU.
- The principal researcher should not be on sabbatical or any other leave for the entire project.
- In case the principal researcher leaves the university before the project is completed, he/she must reimburse the university for the project funding. The amount can be deducted from entitlements. However, the reimbursement may be waived if one of the research team members agrees to assume full responsibility for the project, including financial responsibility, and the General Directorate of Scientific Research and Innovation approves it.
- A faculty member cannot be a principal researcher in more than one ongoing research project.
- Any changes to the research team must be approved in advance by the Research Support Unit Council. The General Directorate of Scientific Research and Innovation may cancel the funding contract and recover disbursed funds if this condition is violated.
- The principal researcher is required to submit quarterly reports detailing the project's progress and providing expectations regarding its anticipated completion.
- All members of the research team must be listed as contributors to scientific papers resulting from the project.
- Participants in the research project must sign a form committing to intellectual property rights.
- Obtaining prior permission from the University's Research Ethics Committee is necessary if the nature of the research project requires it, and all research team members must follow the rules and ethics of scientific research.
- Research should be original and not derived from a book, thesis, or previously completed scientific work before applying for funding. It is possible to apply for funding through the Scientific Research Publishing Funding Program rather than the Research Projects Funding Program in such cases.
- Research Support Unit Council approval is required prior to making any significant changes to a funded research project.
- It is the principal researcher's responsibility to complete the project within the scheduled time frame. A project's duration can be extended for an additional six months if a request for extension is submitted at

least 30 days before the project's end date and approved by the Research Support Unit Council. Failure to comply with the project's duration constitutes a contract breach for the university, which may terminate the project and recover the disbursed funds.

- Two installments of 50% of the total project fund are disbursed under the funding contract. The first installment is disbursed after signing the contract, and the second installment is disbursed once the research paper(s) derived from the project's results is/are published in reputable scientific journals indexed in the Web of Science database's first three quartiles (Q1, Q2, Q3).
- Scientific affiliations in published research should be as follows:
- Department of [Department Name], College of [College Name], Dar Al Uloom University, University Address.
- Dar Al Uloom University is to be acknowledged for funding the research as follows:  
"This research was funded by the General Directorate of Scientific Research & Innovation, Dar Al Uloom University, through the Research Projects Funding Program."
- It is not acceptable to acknowledge any external entity other than the university.
- The principal researcher's email address should be the same as his/her university email address in published research.
- In published research, the principal researcher must be the corresponding author.

#### 4. Policy Procedures

- The principal researcher applies for research funding to the chairman of the Scientific Research and Innovation Committee at the college, with all the required documents.
- Upon approval by the committee, the Chairman of the Scientific Research and Innovation Committee at the college forwards the application and its report to the Dean. The report includes their opinions on the authenticity of the research topic, compliance with the ethics of scientific research, alignment with the research priorities of the university or the college, relevance to one or more disciplines within the college, and whether the proposed budget for the project is appropriate for its nature and requirements. If an application does not meet the contracting conditions, the committee may reject it.
- Following approval from the college's Dean, the application is forwarded to the General Directorate of Scientific Research and Innovation's Research Support Unit.
- The Research Support Unit refers the application to the university's Research Ethics Committee. Research proposals are then reviewed and evaluated by a refereeing committee, which consists of two or more members from within or outside the university, depending on specialization.
- Following approval by the evaluation committee, the application is presented to the Research Support Unit Council. Upon confirmation that all conditions have been met, the unit submits its recommendations to the General Directorate of Scientific Research and Innovation.
- Research projects are approved by the General Directorate of Scientific Research and Innovation. The funding contract is signed and forwarded to the Finance Department for the disbursement of the first installment, in accordance with the approved annual research budget.
- Following the publication of the scientific paper(s) derived from the project's results in a reputable scientific journal (Q1, Q2, Q3) indexed in the Web of Science database, and upon the recommendation of the Research Support Unit Council and its approval by the General Directorate of Scientific Research and Innovation, the final installment of the research project funding contract is disbursed, which amounts to 50% of the total contract value.

#### 5. Related Policies/ Documents/ Forms

[-RESEARCH PROJECTS FUNDING PROGRAM.docx](#)

[-GDSR&I RSU RESEARCH PROJECT PROPOSAL EVALUATION FORM.docx](#)

[-GDSR&I RSU RESEARCH PROJECT PROPOSAL EVALUATION FORM ARABIC.docx](#)

[-GDSR&I RSU APPLICATION FORM FOR RESEARCH PROJECTS FUNDING PROGRAM .docx](#)

[-GDSR&I RSU APPLICATION FORM FOR RESEARCH PROJECTS FUNDING PROGRAM MEDIUM RESEARCH PROJECT REQUEST FOR 2 PAYMENT.docx](#)

[-GDSR&I RSU APPLICATION FORM FOR RESEARCH PROJECTS FUNDING PROGRAM SMALL RESEARCH PROJECT REQUEST FOR 2 PAYMENT.docx](#)  
[-GDSR&I RSU GRANT AGREEMENT.docx](#)  
[-GDSR&I RSU PLAGIARISM REPORT.docx](#)

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |

## DAU 10-3 DAU's Research Ethics

| Policy Code   | Policy Name                  |                    |  |
|---|------------------------------|--------------------|--|
| DAU 10-3  | DAU's Research Ethics Policy |                    |  |
| Responsible Executive   | Current Revision Date        | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- The IRB Committee</li> <li>- The General Directorate of Scientific Research and Innovation</li> <li>- The Research Support Unit</li> <li>- Scientific Research and Innovation Committees at the College level</li> </ul> | 10/2023                      | 10/2027            |  |

### 1. Purpose of Policy

The purpose of this policy is to ensure that all faculty members, students, and staff are aware of the ethical research code and that they act accordingly. DAU has established the Institutional Review Board (IRB) in accordance with Saudi's rules and regulations. Its purpose is to ensure that research work involving human, or animal objects follows specific ethical guidelines consistent with national and international standards.

### 2. Policy Scope

This policy applies to:

- All DAU faculty members, students, and researchers who are involved in research at the DAU.
- All administrative and technical staff who participate in any research activity within or under the auspices of DAU.

### 3. Policy Statement

DAU and its researchers are expected to maintain the highest ethical standards and foster values of honesty, rigor, openness, care, and respect. DAU is concerned with protecting the health, rights, and safety of researchers, and the reputation of the university itself. This policy provides guidance on ways of dealing with situations involving research ethics issues.

The guiding principles of ethical research include the following:

- Beneficence
- Confidentiality/Anonymity
- Non-Maleficance
- Honesty and Integrity
- Informed Consent
- Rigor

The following requirements must be met by all research:

- *Beneficence and non-maleficance*
  - Any possible risks to the participants must be conveyed and the importance of achieving the research objectives should be proportionate to the risk levels.
  - Research is not supposed to be undertaken in cases where the hazards are unpredictable. Adequate facilities and procedures should be put in place to deal with any potential hazards.



- **Honesty and Integrity**

Authenticity and absolute honesty are expected throughout the research especially in crucial elements of the research like procedures, intentions, fact-finding, data gathering, interpretation of results, acknowledging others for their contribution, and claims that are based on the results and findings of the research.

- Researchers are expected to show absolute honesty throughout the research.
- Any conflicts of interest should be fully declared and documented.
- The researchers are expected to contribute to their specific field of knowledge through scientifically sound research.
- Researchers are expected to report all positive research findings vividly along with any negative results.
- Only qualified and appropriately experienced members of the university must be allowed to carry out and supervise research.
- The accountability of any research is supposed to be shared by both the researchers and the supervisors as well.
- All research supervisors are expected to take the necessary appropriate steps to make sure that research is honest and meets the highest standards of integrity.

- **Taking Appropriate Consent**

- It is the duty of the supervisors and the researchers to ensure that the details of the crucial elements of the research like the methods, aims, and the expected results along with any potential hazards have been clearly explained to all participants.
- All participants must be provided with adequate opportunity to raise any form of concerns before the research commences.
- All documentation provided to the participants must be clear and understandable.
- In cases where consent is required, written consent should be given, and records of consent must be maintained.
- Participants should be aware when any form of inducement is administered to them, and all the relevant rules and regulations must be adhered to.
- In research where participants may include minors or individuals who do not have the legal or medical competence to give their formal informed consent, it is obligatory for the legal guardian of the individual to provide the consent before the research commences.

- **Research Misconduct**

Numerous Actions can be coined as research misconduct. Below is a list of actions that can be termed as research misconduct, but misconduct is not limited to the following:

- Authority: when the appropriate permission to carry out research is not obtained.
- Collusion: when the research or the project was carried out with the help of unauthorized shared authorship.
- Confidentiality: when information is confidentially obtained from unauthorized means
- Conspiring: when the researchers conspire or plan to carry out a deed of research misconduct.
- Deception: when any aspect or element of the research is deceiving.
- Deviation: any deviation from the general best practices in the field or risk to the wellbeing of the participants (animals, humans, environment)
- Dishonesty: publication of results and data even after knowing it is dishonest or misinterpreted
- Fabrication: fabricating, concoction, or inventing desired results
- Failure in meeting professional, legal, and ethical obligations: when crucial elements of research like authorship, confidentiality, lack of appropriate consent misuse of personal data, and abuse of subjects, materials, or funds are not dealt with within the professional, legal, and ethical parameters.

- Falsification: when data or the research processes are manipulated, modified, or omitted without the formal permission of the supervisor or the research head to portray the desired results.
- Fraud: when there is fraudulent usage of the equipment or funds sanctioned for research.
- Incitement: Encouraging research misconduct.
- Plagiarism: using others' work without giving proper credit or acknowledgment.

#### 4. Related Policies/ Documents/ Forms

NA

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes              |
|---------|------------------|--|
| 1       | 2018             | 1 <sup>st</sup> issue of the policy                  |
| 2       | 10/2023          | New Ethical Guidelines for research have been added. |

## DAU 10-4 Scientific Conferences Participation Policy

| Policy Code   | Policy Name                                 |                    |  |
|---|---|--------------------|--|
| DAU 10-4  | Scientific Conferences Participation Policy |                    |  |
| Responsible Executive   | Current Revision Date                       | Next Revision Date |  |
| <ul style="list-style-type: none"> <li>- Colleges and academic departments.</li> <li>- The General Directorate of Scientific Research and Innovation.</li> <li>- The Research Support Unit.</li> <li>- Scientific Research and Innovation Committees at the College level.</li> </ul> | 10/2023                                     | 10/2027            |  |

### 1. Purpose of Policy

This policy provides guidelines for funding participation of faculty members in scientific conferences.

### 2. Policy Scope

This policy applies to DAU's faculty members.

### 3. Policy Statement

The policy encourages DAU faculties to attend scientific conferences to keep abreast of their specializations and scientific research interests. It also encourages them to exchange knowledge and research ideas and increases DAU's participation in national and international research forums.

### 4. Policy Procedures

- Financial support to attend conferences is only provided to full-time faculty members who have spent at least one year of service in the university.
- The conference's domain should be related to the faculty member's discipline or his/her work.
- Faculty members can be allowed twice a year to attend conferences.
- This policy applies only to conference attendance that includes presenting a paper.
- Participants must mention their affiliation at DAU and acknowledge the funding sources in their publications.
- The applicant should arrange all makeup classes during the conference or workshop period and inform the department head of this arrangement before traveling.
- The attendance of the faculty member should not have any disturbing effects on the department's functioning.
- The conference should be organized by a renowned national/or international organization, institute, or academic body including universities, colleges, departments, research centers, and scientific societies.
- The conference should be of the type that is held on a regular basis.
- The applicant should submit the following requested documents to the head of the College's Committee for Scientific Research and Innovation:
  - The conference attendance form.
  - An official invitation letter with an acceptance of the paper to be presented at the conference.
  - A copy of the research or working paper to be presented at the conference.
- The applicant should submit the required documents at least one month before the conference date.
- Participation in conferences must be based upon the approval of the College Scientific Research and Innovation committee, the College Dean, the Research Unit support, and the General Directorate of Scientific Research and Innovation.

- Upon approval of the university's concerned authorities, the General Directorate of Scientific Research and Innovation. provides the participant with the following expenses:
  - Guest, round-trip tickets to the city/country where the conference is held.
  - Registration fees of the conference.
  - Visa fees.
  - Exit/return fees for non-Saudis.
  - Medical insurance fees (if any).
- Participants are entitled to receive the following daily allowance rates (per diem) for a maximum of 5 (five) days:

| Category                            | Per Diem (SR/day) |
|-------------------------------------|-------------------|
| Inside KSA                          | 500               |
| Outside KSA                         |                   |
| Arab countries and the Arabian Gulf | 750               |
| Europe - Asia - America             | 1000              |

- The participant must submit a report to the head of the department, with a copy to the dean and the director of the Research Support Unit, including the conference agenda, proceedings, letter of participation, and other related documents. The report should be submitted within two weeks after the faculty member returns to DAU.
- Conference attendance should not be deducted from the annual leave balance.

#### 5. Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes            |
|---------|------------------|--|
| 1       | 2018             | 1 <sup>st</sup> issue of the policy                |
| 2       | 10/2023          | New requirements and fees are added to the policy. |

## DAU 10-5 DAU's Scientific Publishing Funding Policy

| Policy Code   | Policy Name                          |                    |  |
|---|--------------------------------------|--------------------|--|
| DAU 10-5  | Scientific Publishing Funding Policy |                    |  |
| Responsible Executive   | Current Revision Date                | Next Revision Date |  |
| -The General Directorate of Scientific Research and Innovation<br>-The Research Support Unit<br>-Scientific Research and Innovation Committees at the College level | 10/2023                              | 10/2027            |  |

### 1. Policy Purpose

The Scientific Publishing Funding Policy is designed to encourage faculty members to publish in highly ranked scientific journals and apply for funding after publication.

### 2. Policy Scope

The policy applies to all faculty members, adjunct and visiting professors, clinical professors in health colleges who are appointed by councils within these colleges, and university students.

### 3. Policy Statement

#### Accepted Publishing Venues:

- Research published in a reputable scientific journal with a high Impact Factor.
- Only journals indexed in Scopus and Web of Science are accepted as publishing venues. A research paper published in Arabic may also be accepted for publication by journals in the Arabic Citation and Impact Factor (ARCIF) database, but the research must be published in a peer-reviewed journal affiliated with a Saudi university or scientific association or an Arab university recommended by the Ministry of Education, plus an ISSN deposit number and international registration.
- In Scopus, journals should not be classified below Q3. In the Web of Science database, all quartiles are accepted, however, publications in journals listed in the Emerging Sources Citation Index (ESCI) are not.
- In cases where the journal is classified in both Scopus and Web of Science databases, the highest applicable classification should be considered when determining the publication incentive.
- The journal publishing the research paper must have been indexed in Scopus or Web of Science for at least three successive years prior to publication. Publication incentives are based on the journal's classification in the issue in which the research was published. Declassification of the journal before the incentive is granted renders it an invalid publication venue and the incentive is undeserved.
- Journal names should not appear on any list of predatory publishers and journals.

#### Incentive Entitlement Requirements:

- The applicant must be affiliated with the university (faculty members, adjunct and visiting professors, clinical professors in health colleges appointed by their college councils, and university students).
- The research paper must be original (original article).
- The following affiliations should be cited in the published research:
- "Department of ..., College of ..., Dar Al Uloom University, address of the university"
- An acknowledgment of research support from Dar Al Uloom University must appear in the research paper in the following format:

- “This research was funded by the General Directorate of Scientific Research & Innovation, Dar Al Uloom University, through the Scientific Publishing Funding Program.”
- Incentives are only eligible after publication, and acceptance letters do not count.
- In the published paper, the applicant's email address should match his/her university email address.
- In joint research, only the first and corresponding authors are eligible for incentives. The eligibility percentage is as follows:
  - (70) % of publication incentive if researcher is both the first and corresponding author. The full incentive will be granted to the researcher if DAU students are participants in the research.
  - (50) % of the publication incentive if the researcher is only the first or only the corresponding author.

#### 4. Policy Procedures

##### *Incentive Payment procedures:*

- The researcher submits a publication incentive application to the Chairman of the Scientific Research and Innovation Committee in the college, along with all the required documents.
- The Chairman of the Scientific Research and Innovation Committee in the college submits the application to the Dean, along with a report confirming that the research meets all the eligibility criteria. An application that does not meet the eligibility criteria will be rejected by the committee.
- The College's Dean refers to the complete application with its attachments to the Research Support Unit at the General Directorate of Scientific Research and Innovation.
- The Research Support Unit submits its recommendations to the General Directorate of Scientific Research and Innovation after ensuring all requirements have been met.
- When a scientific research application is approved by the General Directorate of Scientific Research and Innovation, it is forwarded to the Finance Department, which completes the procedure for incentive payment based on the approved budget for scientific research for the academic year.

##### *Publishing Incentive Scale:*

| Premier Journals            | Incentive's Amount (S.R.) |
|-----------------------------|---------------------------|
| Science and Nature Journals | 25,000 S.R.               |

| Journals ranked in Web of Science | Incentive's Amount (S.R.) |
|-----------------------------------|---------------------------|
| Q1                                | 15,000                    |
| Q2                                | 12,000                    |
| Q3                                | 9,000                     |
| Q4                                | 7,000                     |

| Journals ranked in Scopus       | Incentive's Amount (S.R.) |
|---------------------------------|---------------------------|
| Q1                              | 10,000                    |
| Q2                              | 8,000                     |
| Q3                              | 5,000                     |
| Arabic journals ranked in ARCIF | 3,000                     |

##### *Publication Fees Reimbursement:*

- If all researchers are DAU affiliates, the university reimburses the full publication fees, up to the specified maximum limit, based on the classification of the publication venue.
- In research involving researchers from both within and outside the university, the percentage of publication fees reimbursed equals the percentage of eligibility for publication incentives.
- Publication fees are only reimbursed if not previously reimbursed by another entity.
- A reimbursement is only provided upon presentation of a payment receipt issued by the publishing journal in the applicant's name.

- The table below shows the maximum amount the university reimburses for publication fees based on the publication venue's classification level:

| Journal                            | Maximum Fees Reimbursement (S.R)  |
|------------------------------------|-----------------------------------|
| <i>Science and Nature Journals</i> | Publication fees fully reimbursed |
| <i>Web of Science Q1</i>           | 5,000                             |
| <i>Web of Science Q2</i>           | 4,000                             |
| <i>Web of Science Q3</i>           | 3,000                             |
| <i>Web of Science Q4</i>           | 2,000                             |
| <i>Scopus Q1</i>                   | 4,000                             |
| <i>Scopus Q2</i>                   | 3,000                             |
| <i>Scopus Q3</i>                   | 2,000                             |
| ARCIF                              | 1,500                             |

Note: The [Scientific Publishing Funding Program.docx](#) clarifies all the funding related to the publishing process.

## 5. Related Policies/ Documents/ Forms

[Scientific Publishing Funding Program.docx](#)

[GDSR&I RSU APPLICATION FORM FOR SCIENTIFIC PUBLISHING FUNDING PROGRAM .docx](#)

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Change |
|---------|------------------|--|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy    |



# DAU 11.0 Community Engagement Policies



## DAU 11-1 College Advisory Board (CAB) Policy

| Policy Code                                 | Policy Name                         |                    |  |
|---|-------------------------------------|--------------------|--|
| DAU 11-1                                    | College Advisory Board (CAB) Policy |                    |  |
| Responsible Executive                       | Current Revision Date               | Next Revision Date |  |
| - College Council<br>- College Dean & Staff | 10/2023                             | 10/2027            |  |

### 1. Policy Purpose

The purpose of this policy is to lay out principles for the creation of the College Advisory Boards:

- Builds strong relations between DAU institution and the community,
- Improves the quality of the academic programs,
- Provides graduates with the skills necessary for the labor market.

### 2. Policy Scope

This Policy applies to all DAU Colleges.

### 3. Policy Statement

The College Advisory board shall be established for all DAU Colleges. One advisory board may serve a cluster of related programs. The College Advisory board provides guidance and advice on programs' evaluation and continuous development to meet with the labor market needs. The College Advisory Board also provides recommendations and advice on curriculum, and student internship opportunities and ideas for the development of graduates' skills. and.

A college Advisory Board is made up of a selected group of professionals who can provide the program with feedback on the industry about the program's mission, goals, graduates. It is only an advisor without any legislative, administrative, or programmatic authority role.

The goal of the College Advisory Board (CAB) is to increase the quality of the programs and enhance the educational process in the colleges. The board is responsible for counseling, helping, supporting, and promoting the educational process within the College. Moreover, the College Advisory Board coordinates their efforts with colleges to plan and carry out their activities by providing them with professional knowledge and experience to follow the new trends and most up-to-date teaching and learning techniques.

The following section outlines the Board's duties and membership, and it shows important terminologies used.

#### *Duties of the Board:*

The College Advisory Board perform the following responsibilities:

- Supports academic programs, scientific research, and outreach by making suggestions on priorities, orientations, and current & new trends.
- Participate in developing strategies that help colleges to achieve their ultimate goals.
- Provides advice and recommendations to ensure that the programs address the employment and educational needs of the labor market.
- Creates and puts into action ways to maintain strong links with the community and create institutional alliances.
- Contributes to enhance DAU's image.
- Provides feedback on the career journey and status of alumni in the labor market.
- Suggests strategies to enhance the academic programs.

- Connects students and graduates with different public and private sectors to offer them internships, training, research, and job opportunities.
- Identifies and assists in receiving external funding for colleges' initiatives, programs, and research.

#### Membership of CAB

The College Advisory Board shall reflect a diversity of perspectives. Therefore, it shall be composed of professional leaders, distinguished academicians, prominent alumni, and community figures from different backgrounds.

- The suggested number of Board members is at least twelve, including the Dean of the College and it should be gender balanced. Dean of the College, Vice Deans of the College., Seven prominent members of business in the private sector, government sector, industries, and education with link to college programs for membership in the advisory board, and programs heads.
- The formation must be approved by the university president.
- The composition of the council includes the relevant categories of (students, graduates, the public & private sector, experts, and representatives of the college).
- In the first session, the council chooses a chairperson for its members, and it also chooses a secretary for the council.

#### 4. Policy Procedure

##### The process of establishing and approving a College Advisory Board is as follows:

- The college Dean nominates the potential CAB members based on the previously mentioned membership criteria.
- The list of nominated members should be approved by the college council.
- After approval by the college council, the dean shall submit the potential CAB members to the University Council.
- The board shall serve for two-year terms, renewable thereafter.
- The CAB starts its work immediately after receiving approval from the University Council.
- The college and program academic leaders may issue further bylaws and regulations to improve the effectiveness of the CAB as needed.

#### Meetings

The College Advisory Board shall meet bi-annually (2 times per year), preferably once per semester. Additional meetings may be held when needed.

#### Officers of the Board

Officers of the Advisory Board shall be comprised of two Board members - a Chairperson, a Vice- Chairperson, in addition to a Secretary from the College. The Chairperson and Vice- Chairperson shall be appointed by voting, whereas the Secretary shall be nominated by the Deans. The Officers of the Board shall be appointed for two-year terms, renewable thereafter.

- *Chairperson*  
The CAB Chairperson shall perform a leadership role by serving as the executive head and assisting the Board with important recommendations, information, and data to implement its activities. The Chairperson shall also preside over all the meetings, with exclusive power to organize them and approve the meeting agenda.
- *Vice-Chairperson*  
The Vice-Chairperson shall assist the Chairperson in their duties and responsibilities and act as presiding officer in the absence of the Chairperson.
- *Secretary*  
The Secretary shall be responsible for taking accurate and action-based meeting minutes, promptly disseminating them to all the members, and ensuring clear and effective communications relating to the

duties and responsibilities of the Board. The Secretary shall also receive proposals for agenda items from the Board members and present them to the Chairperson.

- *Members*

Members participate in presenting their opinions and suggestions, discussing the topics presented to them, and providing advice in take the appropriate decisions, and he has the right to raise what he/she sees as important issues for discussion in the Council, and he/she carries out the tasks assigned to him/her.

#### 5. Related Policies/ Documents/ Forms

NA

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 11-2 Community Engagement Policy

| Policy Code  | Policy Name                 |                    |  |
|--|-----------------------------|--------------------|--|
| DAU 11-2   | Community Engagement Policy |                    |  |
| Responsible Executive  | Current Revision Date       | Next Revision Date |  |
| - Community Engagement Unit<br>- Community Engagement and Industry Linkage Committee (CE&ILC) at college level | 10/2023                     | 10/2027            |  |

### 1. Policy Purpose

Community engagement is one of the strategic plan's components and a key component of DAU Mission. This policy aims to guide the practice and promotion of community engagement as a core institutional function integrated with teaching, learning, and research.

This policy has the following objectives:

- Integration of community engagement with teaching-learning and research as a key core function at DAU.
- Showing how DAU supports community engagement.
- Defining measurable performance outcomes for DAU community service.

### 2. Policy Scope

This Policy applies to all DAU Employees, Students and Faculty Members.

### 3. Policy Statement

#### Definitions:

- *Community relationship*: A community relationship is a collaboration between the University and its local, regional, national, and global communities for the exchange of knowledge and resources to better serve them.
- *Community engagement*: Refers to continuous community collaborations between DAU and the society interest groups that DAU interacts with, aimed at building and exchanging knowledge, skills, expertise, and resources required to develop and sustain the society. This type of engagement is primarily focused on benefiting the community through delivering a particular service, but is generally initiated from within the institution, department, or faculty.
- *Community Partnership*: Refers to collaborative agreements between two or more parties sharing a similar vision, aimed at reaching a common goal by devising and implementing mutually agreed activities while maintaining their respective identities and agendas. These activities help to develop and sustain society.
- *Community Relationship Activities Volunteerism*: This refers to altruistic engagement of students and staff in activities benefiting the recipient community, with service provision as the main goal. This includes extracurricular activities for which no academic or other credit is received.

#### General Principles:

Regarding DAU Strategic plan and DAU Mission, DAU recognizes the importance of community involvement and encourages employees and students to participate in volunteer activities. This policy clarifies the role and responsibility of Community Engagement Unit on the university level with the co-operation with Community Engagement and Industry Linkage Committee (CE&ILC) on the College level in establishing guidelines for the community engagement in DAU accordance to Community Engagement Strategic Plan.

DAU recognizes community service as a key aspect of its institutional mission and commits itself to encourage a range of community service activities throughout DAU.

All Colleges/Programs in DAU are encouraged to be active players to serve our community and to create advantageous partnerships and relationships while making a significant Impact on our local communities. Community service includes activities are designed to support and help individuals or groups outside the university, as they are offered by DAU's programs, teaching staff, employees and students. DAU assess the Community needs and develop suitable Community Engagement programs to meet these needs.

To support the community engagement DAU shall:

- Create partnerships or other cooperative agreements with external partners to develop or provide services.
- Generate, transmit, apply and preserve knowledge for mutual benefit with external audiences.
- Continue training courses, lectures, seminars, and technology transfer initiatives to meet community needs.
- Participate, organize and/or support actively in community events and services.
- Maintain communication channels with alumni and employers.
- Communicate opportunities to faculty members and students for involvement in community activities locally, regionally, and internationally.
- Facilitate the contribution of faculty members and staff in community organizations through their membership of committees and local councils.
- Encourage faculty and staff to keep records of their community activities in their annual professional development plans.
- Properly document, benchmark activities/events that contribute to DAU's community outreach services and disseminate results to relevant stakeholders.
- Make the university's expertise, resources and facilities available where appropriate, to better engage and support actively in community service.
- Ensure that ongoing community engagement activities are identified and communicated to staff, students and the wider community.
- Promote the inclusion of service learning in academic courses where appropriate, in order to benefit the community.
- Develop relevant tools to track community needs and monitor staff and students' activities.
- Ensure quality community engagement initiatives through ongoing communication with different organizations aimed at serving the public.
- Create opportunities for alumni to connect intellectually with the college and the community.

#### **DAU Supporting administratively the Community Engagement within the university through the follows:**

- DAU demonstrates a spirit of collaboration and mutual purpose as it supports the achievement of a shared mission based on the National Development Plan for KSA.
- DAU will actively encourage Faculty Members and staff, administration staff, and students to become more involved in the community by providing flexibility in work schedules and paid leave opportunities.
- DAU is committed to implementing Community Engagement plans.

#### **Community Engagement and Industry Linkage Committee (CE&ILC) at the college levels roles and responsibilities:**

As a part of community engagement, (CE&ILC) assists the College for the following activities:

- Hosting forums in their areas of expertise during the year
- Hosting local conferences on subjects of interest to the university and community
- Engaging community leaders in the College Advisory Board members to provide advice on curriculum, applied research, and consultancy services.
- Engaging community leaders in the review of the mission, vision, and objectives of the university and colleges
- If available, inviting reputable Industrial organizations which have obvious role in the Community engagement to be a guest in the College for one or Two sessions in a semester. This meeting can encourage students to engage effectively in community services and will show how the industry can benefit the community.
- Engaging in community orientation activities, such as media programs, press articles, interviews, meetings, and others.

- Monitoring the Community Engagement Performance of the College Members and rewarding them by appropriate recognition and credit.
- Ensuring that the status of community engagement grows and aligns with that of teaching and research.

### Measuring the performance and the impact of the community engagement in DAU

The impact of community engagement and outreach must be determined and reported annually by the institution in consultation with relevant internal and external stakeholders.

The following are some of the criteria that DAU could use it in the evaluation of the Community Engagement tasks:

- Partner satisfaction with the process and results
- Number and nature of projects according to the typology, as well as the number of students/communities involved and the nature of involvement.
- Student satisfaction.
- Community satisfaction.
- Geographic areas impacted.
- Number of employees involved in community outreach programs and the nature of involvement.
- Number of employees involved in community engagement programs according to typology, as well as the nature of involvement.
- Number of employees/students voluntarily involved with community engagement.
- Changes to the quality of community's life.

### 4. Related Policies/ Documents/ Forms

NA

### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |

## DAU 11-3 Cooperative Agreements and Partnership Policy

| Policy Code  | Policy Name                                   |                    |  |
|--|---|--------------------|--|
| DAU 11-3   | Cooperative Agreements and Partnership Policy |                    |  |
| Responsible Executive  | Current Revision Date                         | Next Revision Date |  |
| - Colleges and Departments<br>- Student Affairs<br>- Legal Affairs | 10/2023                                       | 10/2027            |  |

### 1. Policy Purpose

The policy provides guidelines for the process involved in handling corporate collaborative agreements with public and private entities. Also, it shows how DAU promotes interest in community and research activities of the respective institutions.

### 2. Policy Scope

This policy applies to all internal entities (Colleges, programs, Centers and Units) involved in corporate collaborative agreements.

### 3. Policy Statement

**Partnership:** is a collaborative engagement between two or more parties sharing a similar vision, aimed at reaching a common goal by devising and implementing mutually agreed activities while maintaining their respective identities and agendas.

DAU welcomes any organization to express an interest in becoming a partner that is interested in advancing DAU's mission, vision, and goals. Both parties shall gain from this collaboration.

*The partner organization and DAU will be required to commit to the following:*

- Identifying a representative from each organization to serve as the focal contact point.
- developing and implementing a plan of joint activity.
- Facilitating opportunities for members of each organization to be involved in the partnership's activities.
- Contribution to the promotion and advocacy of each organization by linking to the other's websites.
- Providing financial support for the attendance of meetings related to the partnership if needed.

**Pre-contractual agreements:** A partnerships agreement may typically involve up to three short agreements before the main collaboration agreement is entered into. These agreements are:

- Memorandum of Understanding
- Confidentiality Agreement
- Exclusivity Agreement.

**A Memorandum of Understanding (MOU):** is a document that outlines the parties' general understanding of the key factors/issues that will be later agreed upon. As for the confidentiality agreement, without the other party's approval, two parties will not be able to share sensitive information regarding the prospective collaboration. The parties are forbidden from negotiating the same collaboration with any other institution as per the Exclusivity Agreement. The three agreements can frequently be combined into a single contract, but if this option is taken, the institutions must be certain of which provisions of the agreement will be enforceable and which will not.

## 4. Policy Procedure

### Process for acceptance and implementation of the Agreements

- Inviting faculty members and staff of the partner universities/institutions to participate in a variety of teaching and/or research activities, community and professional development.
- Allowing students from the partner institution for periods of study and/or research.
- Acceptance of any students is at the discretion of the institution providing the learning, research and/or practical experience. Visiting students are responsible for their own living expenses and are always subject to the policies and regulations of the supervising institutional and community.
- Organizing symposia, conferences, short courses, and meetings on research issues.
- Carrying out joint research and continuing education programs.
- Exchanging information related to enhancing teaching techniques, student development, and research and community service at each university/institution.

The coordinators in both two Parties, have the following responsibilities:

- Promoting academic collaboration between both faculty members and graduate students in research and study.
- Acting as principal contacts for individual and group activities and coordinate all departmental activities for which cooperation with the partner institution is desired.
- Distributing to each university/institution information about the faculties, facilities, research, publications, library materials, and educational resources of the other university/institution
- Periodic meeting to review and evaluate past activities and to work out new ideas for future cooperative agreements.

### Evaluation of the partnership

After the First year and then every Three years, the Legal Affairs and other responsible in DAU will assess the agreement achievements. The partner will be informed if it is decided that the partnership is in danger or not. A strategy of resumed meaningful efforts to re-invigorate the partnership must be discussed and negotiated with DAU within Three months (or another period as may have been agreed between the partners) to decide if this partnership will be terminated or not.

### Termination of partnership

DAU reserves the right to terminate any partnership for any reason at any time. Some reasons for immediate termination include but are not limited to:

- Serious violation of the criteria for being a partner,
- Misuse or misrepresentation of the quality of the partnership with DAU,
- Unwillingness to fulfill the responsibilities they agreed to upon acceptance of the partnership and/or serious misconduct by the partner those conflicts with DAU's vision, mission, and principles. These will be evaluated on a case-by-case basis and will be decided by the head of the Legal Affairs Unit.

## 5. Related Policies/ Documents/ Forms

NA

## 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>st</sup> issue of the policy     |



## DAU 11-4 Service-Learning Policy

| Policy Code  | Policy Name             |                    |  |
|--|-------------------------|--------------------|--|
| DAU 11-4   | Service-Learning Policy |                    |  |
| Responsible Executive  | Current Revision Date   | Next Revision Date |  |
| - Deans Of the Colleges<br>- Colleges Staff<br>- Community Engagement and Industry Linkage Committee (CE&ILC)<br>- Community Engagement Unit | 10/2023                 | 10/2027            |  |

### 1. Policy Purpose

This policy guides the practice and promotion of Service-Learning as a core institutional function integrated with teaching, learning, and research.

### 2. Policy Scope

This policy applies to all Colleges students in all academic programs of DAU.

### 3. Policy Statement

*Service Learning:* engages students in activities where both the community and students are the primary beneficiaries. The main goals are to provide services to the community through students based on their studies. This will enhance student learning through the rendering of these services. Reciprocity is a central characteristic of this type of learning and an emphasis is placed on integrating community service with scholarly activities, i.e., research teaching and learning.

This form of community engagement is also referred to as 'academic service learning'; academic community service' and 'community-based learning. Students reflect on their service activities to learn curricular concepts and practice problem-solving and evaluative skills as well as analytical, critical, and reflective thinking.

*Note:* Internships and service learning are two different things.

In terms of the main benefit, the difference between service learning and an internship is clearly showed in the next section:

- The principle of service learning: students gain valuable knowledge through the experience of performing a service to the community.
- The principle of an internship: the organization offers a learning environment, which includes proper training and supervision of the intern's pre-professional work experience, making the student the internship's principal benefactor.

*Minimum criteria for designating service-learning courses:* Courses designated as including service-learning shall:

- Introduce students to the principles of community-service learning.
- Complete at least 10 hours per academic term of direct academically relevant community service.
- Require students to integrate the learning derived from service with subject matter outcomes through relevant activities such as guided discussions, journal assignments, written assignments, projects, and/or class presentations.
- Evaluate students' abilities to integrate the learning derived from service with subject matter outcomes, not merely on the performance of community activities. This evaluation should contribute directly to student grades.

**Service-learning sites:** Appropriate sites for service learning are non-profit, public service organizations outside of the academic context and within the local communities which they serve. The site should be an organization or partner whose mission and work address community-identified needs and directly connect to the content of the academic course.

**Service-learning site supervisor:** Students and professors should collaborate with a site supervisor who will provide them with an introduction to the site's objectives and mission. The site supervisor instructs and supervises students performing the service activity.

**Service-learning agreement:** A service-learning agreement should be approved in advance of the service activity and should include:

- The learning objectives of the service activity
- Responsibilities, duties, and time commitment of the student at the service site
- Responsibilities and duties of the Site Supervisor
- Description of the academic assignment to the student
- Students are not to receive payment for the service-learning activity.

#### 4. Policy Procedure

##### *Procedures of assignments for effective service learning*

**Reflective Journaling**—Students create written records of their observations of service activities and the communities in which they work. With regular daily or weekly entries, journals provide a means for connecting course content to agreed-upon learning goals and responsibilities of the service activities, and observations of the organizations and the communities they serve. Specific journal writing assignments also assist students in consciously reflecting on specific observations or incidents that occur within the context of the service activity.

**Facilitated Meetings**—Reflection is fostered within the context of a facilitated group meeting. Students debrief their service learning experiences through focused commentary on selected journal entries. Group discussion around questions arising from reflections on observations provides opportunities for further connections to the course content and learning objectives.

**Portfolio**—A student creates a portfolio to present samples of his/her written work, projects, photographs, videos, reports, summaries, and other documentation of the learning outcomes of the service-learning experience. The portfolio provides an illustration of what the student contributed to the organization and the community that it serves and how his/her skills, knowledge, and practice have expanded through the service-learning activity.

**Topical Paper**—A paper to be written at the conclusion of the service-learning experience integrates the experience with one or more topics from the course. Researched references should be cited to support the conclusions drawn. The paper provides a chance for reflection and integration of the service experience within the expected course outcomes framework and for identifying questions for further exploration and research.

#### 5. Related Policies/ Documents/ Forms

DAU 11-2 Community Engagement Policy

#### 6. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of changes |
|---------|------------------|---|
| 1       | 10/2023          | 1 <sup>St</sup> issue of the Policy     |

## DAU 11-5 Volunteering Policy

| Policy Code           | Policy Name           |                    |  |
|-----------------------|-----------------------|--------------------|--|
| DAU 11-5              | Volunteering Policy   |                    |  |
| Responsible Executive | Current Revision Date | Next Revision Date |  |
| -Student Affairs      | 10/2023               | 10/2027            |  |

### 1. Policy Purpose

This policy aims to outline the duties and responsibilities of volunteers at the university and to ensure that all university members interact with volunteers in a way that safeguards the university's interests and reduces risk to both the volunteer and the university.

### 2. Policy Scope

This policy is applied for all Volunteers employees who work in DAU.

### 3. Policy Statement

"*Volunteer*": is A person who voluntarily offers services or help to the University without payment of fees, wages, salaries or any expectation of reward other than a pre-approved honorarium, if appropriate.

A description of the tasks and obligations related to a Volunteer's job at the University is referred to as a "Volunteer Activity." The term "Volunteer Supervisor" refers to a person overseeing a Volunteer.

- The institution values volunteers' support of the University's mission. Employees, students, and community members can represent the University by volunteering in internal and external communities.
- Then the Authorized unit has the responsibility of personnel selection, recruiting, training, upkeeping, and dismissal of the Volunteers at the University
- The University will ensure that Volunteer Supervisors have the knowledge and training necessary to help Volunteers comprehend their responsibilities at the University and respond in a way that supports Volunteers.
- Volunteers are required to behave ethically in a manner that is congruent with that of university staff.
- Volunteers will be held accountable and may face disciplinary actions, including losing their volunteer position, if they engage in any misbehavior or misconduct against university policies and procedures.
- When a Volunteer is carrying out their volunteer activities, the University will ensure that there will be suitable insurance in place to cover any expected accidents.
- A Volunteer who behaves in a way that is against the University's policies and procedures will not continue his volunteering process in DAU.
- Except in cases where the Volunteer Supervisor agrees to pay expenditures in advance, the University will not reimburse Volunteers for any costs they incur due to their volunteer activities. These costs could be for parking, transportation, mileage and/or food services.
- The University will not ensure any personal automobiles, leased/rented vehicles, or vehicles temporarily used while traveling to and from the volunteer activity.
- The University's employment benefits program will not cover the Volunteer.
- Volunteers who have cause to fear that Volunteering workplace may put them in danger may decline to work or only accept specific tasks.

- There are different Volunteering initiatives that DAU students/staff would participate in; such as: Ramadan Iftar, Blankets Distribution, Orphans and kids with special needs reception at DAU premises, Planting and any other charity initiative.

Note: DAU Volunteering activities by DAU and its students are recorded in the “National Volunteering Platform”.

#### 4. Related Policies/ Documents/ Forms

DAU 11-2 Community Engagement Policy

#### 5. Document History

| Version | Issue/ Rev. Date | Updated Information/ Summary of Changes |
|---------|------------------|---|
| 1       | 10/ 2023         | 1 <sup>st</sup> issue of the Policy     |