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Academic Affairs

Undergraduate Student Handbook -AA001 and Undergraduate Catalog -AA005

Undergraduate Student Handbook

Undergraduate Catalog

Disciplinary Policy on Academic Misconduct -AA002

Policy Code
AA002
Department/Office
Academic Affairs
Policy Purpose
This policy is designed to uphold academic integrity within Alfaisal University and provide a clear framework for addressing incidents of academic misconduct, including cheating during exams. The aim is to maintain a fair and transparent process, while ensuring that students have a clear avenue to appeal decisions that they believe to be unjust.

Policy Scope
This policy applies to all students enrolled at Alfaisal University and covers any acts of academic misconduct, including but not limited to cheating, plagiarism, falsification of academic records, or any other form of dishonest academic behavior, particularly during examinations.

Authority and Responsibility

1. **College-Level Authority**: Each college is empowered to handle and make decisions regarding academic misconduct cases within its respective programs. College Deans or designated academic committees shall have the authority to investigate allegations of academic misconduct, determine the appropriate disciplinary actions, and implement consequences based on the severity of the violation.
2. **Possible Sanctions**: Depending on the severity of the misconduct, sanctions may include, but are not limited to:
   A. A formal warning
   B. A failing grade for the affected exam or course or more
   C. Suspension or expulsion from the college or university
   D. Any other disciplinary actions deemed appropriate by the college

Student Right to Appeal

1. **Initial Appeal Process**: If a student disagrees with the decision made by the college regarding academic misconduct, they have the right to appeal the decision to the Deanship of Student Affairs.
2. **Timeframe for Appeal**: The student must submit their appeal in writing to the Deanship of Student Affairs within 10 business days of receiving the final decision from the college.

Appeal Committee

1. **Composition of the Appeal Committee**: The Deanship of Student Affairs shall organize an Appeal Committee to review the case. The committee will consist of:
   A. Faculty members from different academic colleges within the university
   B. A representative from the Deanship of Student Affairs

2. **Responsibilities of the Appeal Committee**: The committee will review all documentation and evidence related to the case, conduct interviews if necessary, and make a final decision based on a thorough examination of the facts.

Final Decision

1. **Binding Decision**: The decision of the Appeal Committee is final and binding. The committee has the authority to uphold, modify, or overturn the original disciplinary decision made by the college.
2. **Notification**: The student will be notified in writing of the Appeal Committee's decision within 10 business days after the committee's meeting. The decision will include a summary of the findings and rationale for the committee's conclusion.

Confidentiality

All proceedings under this policy will be handled with strict confidentiality. Only individuals directly involved in the investigation, decision-making, and appeal processes will have access to information about the case.

Prevention and Education

In addition to disciplinary actions, the university is committed to promoting academic integrity through educational programs and awareness campaigns. These initiatives aim to reduce incidents of academic misconduct and encourage students to engage in ethical academic practices.

Conclusion

This policy seeks to preserve the integrity of the academic environment at Alfaisal University while ensuring fairness and transparency in the handling of academic misconduct cases. By empowering colleges to manage cases locally and providing an accessible appeal process, we aim to support both academic excellence and student rights.

This policy is effective immediately upon approval and will be reviewed periodically to ensure it meets the needs of the university community.

Undergraduate Curriculum Committee (UCC) Majors and Minors Policy -AA003

Policy Code

AA003

Introduction

The required number of credit hours for the majors and minors in Alfaisal University are adopted from The National Qualifications Framework for Saudi Arabia which was approved by the Education and Training Evaluation Commission Board of Directors at its first meeting, Second Session, on 10/02/2020.

Major Specialization

A subject-area of specialty studied in University or any other recognized educational institution, with their basic area of specialization. The number of credit hours for a major specialization should be a minimum of 30% and a maximum of 60% of the primary requirements for the major specialization. University requirements are not included thereof. These requirements should be included in the learner's transcript.

Minor Specialization

A support specialization outside the primary area of specialization studied in university or any recognized educational institution. The number of credit hours for a minor specialization should be a minimum of 25% and a maximum of 30% of the primary requirements for the specialization. This should be included in the learner's transcript along with the specialization field.

"Related Courses" in the Major

Some rules below refer to "related courses" in the major. Many majors in Alfaisal University require the completion of a certain number of "related courses" outside the major department or program. For some majors these related courses must be chosen from a list of eligible courses. For some they must be chosen from particular categories. For others, the choice is more open, but must be approved by the major adviser. Information on related course requirements for each major in Alfaisal University is available in the Undergraduate Catalog and from the colleges.

Grades in Major Courses

You must earn a grade of at least C- in all courses you count toward your major, including related courses and prerequisites for the major. No work passed with a grade of D may be used to fulfill a major requirement.

Total Number of Majors Plus Minors

A student's total number of majors plus minors may not typically exceed two. This is called the "Rule of Two." (Certificates do not count against this limit.)

Double Counting Major Courses

Generally, if a course is eligible to be applied towards a major and towards some additional type of Alfaisal university requirement (other than a second major or a minor) it may be double counted. The course, however, will earn you only one unit of credit, not two, toward the total number of courses you need for graduation.

Double Counting Major Courses Toward A Second Major or a Minor

You may not double count a major course toward a second major or a minor, with the following one exception:

- The requirements for some majors include "related courses." Courses used as related courses for one major may also count toward the department/program or related courses for a second major or toward the requirements for a minor.

Modification of Major Requirements

The standard requirements for each major require the approval of Alfaisal University Undergraduate Curriculum Committee (UCC).

Rules Related to Minors

Limit on Total Number of Majors and Minors

A student's total number of majors plus minors may not typically exceed two. (This is called the "Rule of Two").

Grades in Minor Courses

You must earn a grade of at least C- in all courses you count toward your minor, including prerequisites for the minor. No work passed with a grade of D may be used to fulfill a minor requirement.

Double Counting Minor Courses

Generally, if a course is eligible to be applied towards a minor and towards some additional type of Alfaisal University requirement (other than a major) it may be double counted. The course, however, will earn you only one unit of credit, not two, toward the total number of courses you need for graduation. You generally may not count a course towards a minor and a major at the same.

Modification of Minor Requirements

The standard requirements for each minor require the approval of Alfaisal University Undergraduate Curriculum Committee (UCC).

Advising

The requirements of most majors and minors are straightforward. However, some majors and minors require careful sequencing of courses. If you have any questions about the requirements to complete a major or a minor, you should consult the advisor and the department offering the major/minor.

General questions about majors and minors can be answered by your college advisor and you will want to make sure you consult with your advisor about how best to incorporate the requirements for your major and minor with your college requirements, general education, etc.

Policies and Procedures for Approving and Amending Academic Programs and Courses -AA004

Policy Code
AA004
Approved By
University Council
Approval Date
Sun, 09/01/2024 - 12:00

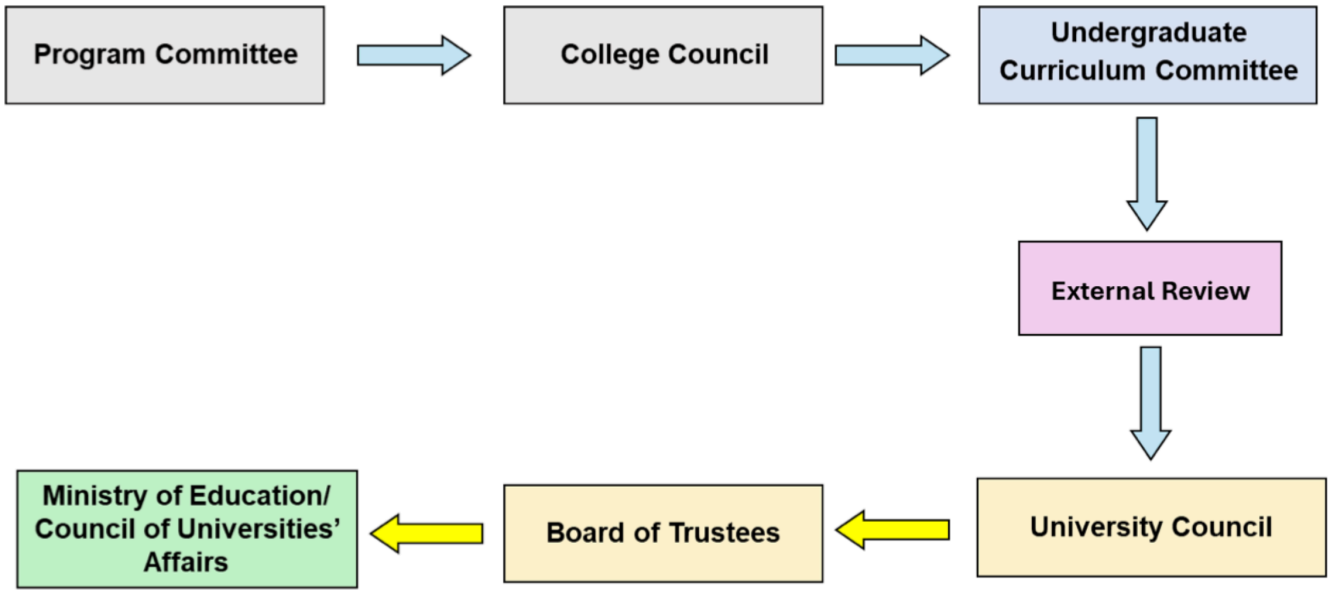
Introduction

The purpose of this document is to summarize the policies and procedures Alfaisal University follows to design, approve, and amend academic programs and courses. Planning introducing new programs must contribute to the achievement of the institution's mission and goals and aligned with the National Qualification Framework (NQF). Curriculum development is governed by AU Guiding Principles and Core Values, which stem from respect for Islamic Principles as well as international best practices. The Undergraduate Curriculum Committee (UCC) is a standing committee of the University with the responsibility of reviewing and making recommendations regarding approval of new undergraduate programs, new undergraduate courses, amending existing academic programs, and changes to existing undergraduate courses. The Research and Graduate Council (RGC) is responsibility of reviewing and making recommendations regarding approval of new graduate programs, graduate courses, and amending graduate programs and courses.

1. Approval of Academic Programs and Courses

AU has a well-established formal approval process for its programs, including a systematic information flow and approval process. The development of university programs includes a thorough feasibility and local market study that considered AU constituents, stakeholders, and the overall AU context. The process and approval protocol for undergraduate programs is showing in Figure 1.

Figure 1: Undergraduate Academic Program Approval Protocol

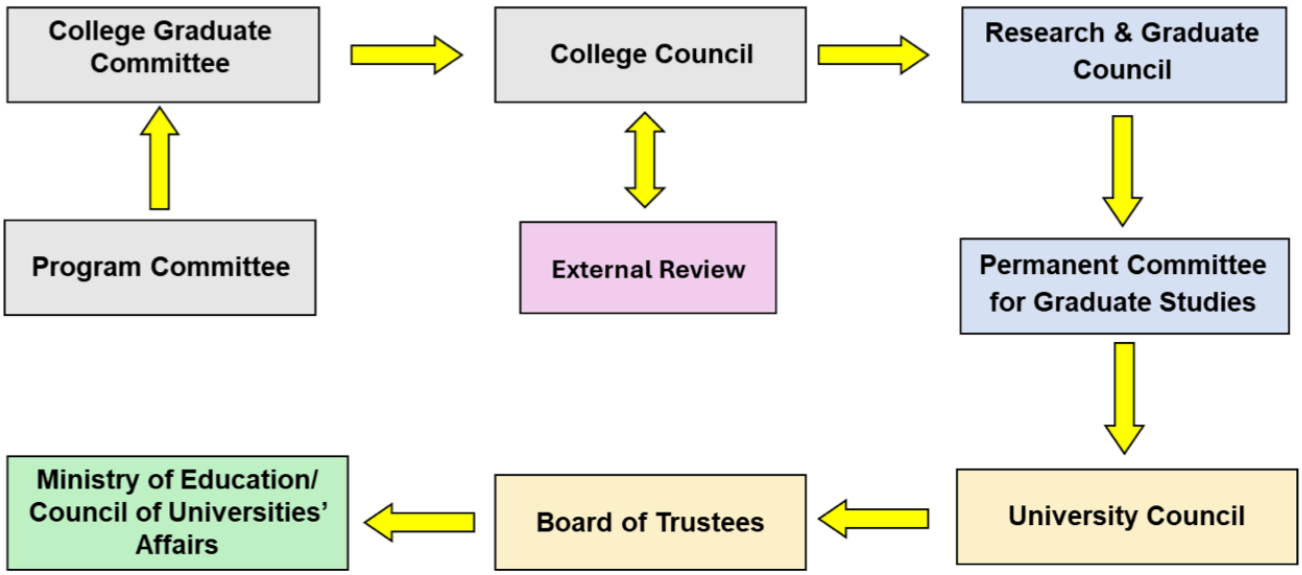


Proposals for new bachelor programs must include the objectives of the new specializations, accompanied by a feasibility study that includes market needs and source of students, as well as the approval of an external reviewer. The program committee must review current faculty's CVs to determine the availability of faculty to teach in the new program or course (or planned recruitment of new faculty). The proposal must indicate a director of the program, who must hold a PhD in the same program major and must be full-time. The program committee must also investigate and report the experiences of international, regional, and local universities, and consider the future requirements of applying local and international academic accreditation standards. The proposed program must be benchmarked against local and international programs and must include all the necessary supporting NCAAA documentation and Course Action Request Forms (APPENDIX 1). Once the documentation is complete, all proposals for new programs and courses must undergo a rigorous and thorough process of approvals at every level: the department, the college, and the university level.

Following approval from the UCC, the next step involves submitting the program curriculum/study plan for external review, followed by review and approval from the University Council. Finally, the proposal goes to the Board of Trustees and then the Ministry of Education/ Council of Universities' Affairs for final approval. The timeline of new program development varies, but in general, the approval process can be completed within eight to ten months.

The process of introducing new graduate programs or graduate courses follow slightly different process from that of undergraduate programs. The approval process for graduate programs is showing in Figure 2. Proposed programs prepared by the program committee are first reviewed by the College Graduate Committee. The College Graduate Committee will send the proposal to the College Council for approval and for external review before it is sent to the Research and Graduate Council. Upon approval of the program by the Research and Graduate Council, it's then sent for approval by Permanent Committee for Graduate Studies and University Council. Finally, the proposal is sent to the Board of Trustees and then the Ministry of Education/ Council of Universities' Affairs for final approvals.

Figure 2: Graduate Programs Approval Process

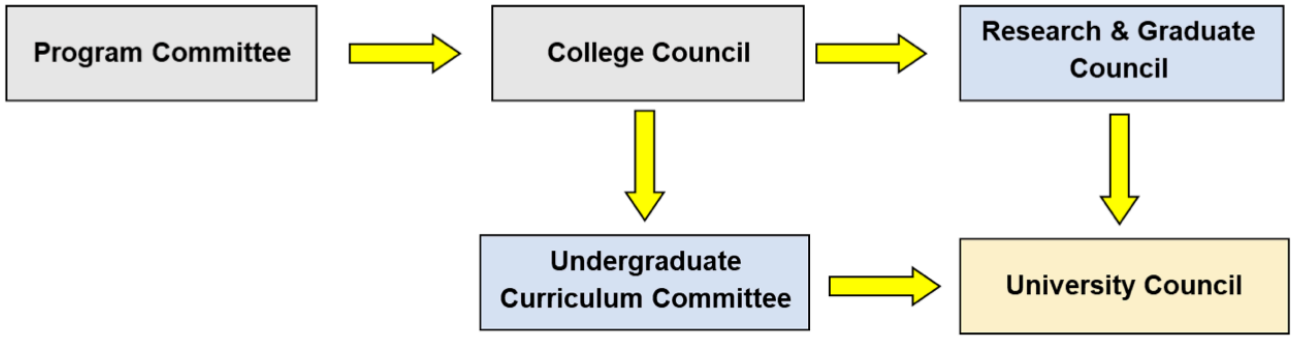


Proposals for new graduate programs must also be accompanied by a feasibility study that includes market needs, external review, as well as an executive summary. Like undergraduate programs, proposed graduate programs must be benchmarked against local and international programs and provide supporting letter from an affiliated institution or agreement with a funding body if needed. These proposals must also include the CVs and contracts of the faculty teaching the courses, as well as the name of the program director of each program/track (full time at AU). The proposal must list the resources needed for the new program: the necessary research facilities, as well as the textbooks and databases available or requested. Finally, they must also include the accreditation certificate for the bachelor's degree as well as NCAAA forms for program and course specifications.

2. Amendments to Existing Programs and Courses

All programs are monitored on regular basis to ensure continuing relevance and quality. For established programs, direct assessments and various types of indirect assessments including surveys and feedback are collected and analyzed for the purpose of improvement. The approval process for amending existing program or courses is showing in Figure 3.

Figure 3: Approval Process for Amending Existing Programs and Courses



At the course level, faculty members can conduct analysis of the attainment of course learning outcomes and provide insight regarding appropriate course content and teaching techniques used and make recommendations for improvements on the course report. Similarly, recommendations for improvement at the program level are

documented in the program annual report base on analysis of the attainment of the program learning outcomes using both direct and indirect assessments. The program director conducts internal deliberations within the department which normally includes the program/college QAA committee and the program advisory board to decide if the changes are major or minor, and these deliberations are systematically summarized. The decision must then be sent to the college for further deliberations in the College Council. The College Council is guided in its deliberations by the department and college mission, as well as by the needs of current and prospective students and the job market. Any substantive changes to a program must go through the College Council, the UCC or RGC, and the University Council. A substantive change is one that significantly affects the learning outcomes, structure, organization, or delivery of the program.

Moreover, adding new courses to existing programs, modifying course numbers and names, changing courses prerequisite and corequisite requirements must follow the approval process for amending existing programs and courses in Figure 3. To initiate the process, college must submit the rational for the changes, the approved minutes from the program committee and College Council along with all the required forms including courses specifications and Course Action Request Form.

Course Action Request From (CARF)

Athletic Scholarship Policy -AA006

Policy Code
AA006

1. Purpose and Scope

The Athletic Scholarships Policy aims to recognize and support outstanding student-athletes who demonstrate exceptional talent and commitment in their respective sports. This policy outlines the criteria, application process, and terms of the scholarship awarded to students at Alfaisal University.

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2. Eligibility Criteria

To be eligible for an athletic scholarship, applicants must meet the following criteria:

a. Be admitted to or currently enrolled in a full-time undergraduate program at Alfaisal University.
b. Demonstrate outstanding athletic performance and potential in their respective sport.
c. To qualify for and to maintain an athletic scholarship, students must demonstrate ongoing active participation in their respective sport.
d. Maintain a minimum cumulative GPA of 2.5 on a 4.0 scale.
e. Exhibit leadership qualities and a commitment to community service.
f. Comply with all university policies and regulations, including those related to athletics.

3. Scholarship Benefits

The athletic scholarship may cover one or more of the following:

a. Full or Partial Scholarships: Partial athletic scholarships cover a portion of tuition fees. The amount may vary depending on the student-athlete's performance, the sport they play, and the availability of funds.
b. Other related expenses as determined by the scholarship committee.

4. Athletic Award Categories

a. Olympic Medal 100% (Full Scholarship)

b. Olympic Qualified 50% of the university tuition fees
c. Regional Medal 50% of the university tuition fees
d. National Medal 50% of the university tuition fees
e. Member of any Saudi National Team 30% of the university tuition fees

5. Application Process

The application process for the athletic scholarship involves the following steps:

a. Application Submission: Interested students must submit a completed scholarship application form, available on the university's website, by the specified deadline.
b. Supporting Documents: Applicants must provide:
    I. A personal statement outlining their athletic achievements, goals, and how the scholarship will aid their academic and athletic pursuits.
    II. Two letters of recommendation, one from a coach and one from an academic instructor.
    III. Official transcripts.
    IV. Evidence of athletic performance, such as video footage, statistics, or certificates.
c. Interview: Shortlisted candidates may be invited for an interview with the scholarship committee.

6. Selection Criteria

The selection committee will evaluate applicants based on the following:

a. Athletic performance and potential.
b. Academic achievements and potential.
c. Leadership and community involvement.

7. Scholarship Renewal

Athletic scholarships are renewable annually, contingent upon the recipient:

a. Maintaining the required academic performance (minimum cumulative GPA of 2.5).
b. Demonstrating continuous athletic involvement and performance.
c. Upholding exemplary conduct both on and off the field.
d. Fulfilling any additional requirements set by the scholarship committee.

8. Responsibilities of Scholarship Recipients

Scholarship recipients are expected to:

a. Represent Alfaisal University in their respective sports with dedication and sportsmanship.
b. Participate in mandatory training sessions, competitions, and related events.
c. Balance academic responsibilities with athletic commitments effectively.
d. Engage in community service activities as ambassadors of the university.
e. Adhere to the code of conduct for student-athletes and all university policies.

9. Termination of Scholarship

The university reserves the right to terminate the scholarship if the recipient:

a. Fails to meet the academic or athletic performance criteria.
b. Engages in misconduct or behavior that tarnishes the reputation of the university.
c. Voluntarily withdraws from the athletic program or the university.

10. Appeal Process

Students who have their scholarship terminated or who are not selected may appeal the decision. Appeals must be submitted in writing to the scholarship committee through the Deanship of Student Affairs, Admissions, and Registration within 30 days of the notification of the decision, detailing the grounds for the appeal and any supporting evidence.

11. Review and Amendments

This policy will be reviewed annually by the scholarship committee to ensure its effectiveness and alignment with the university's goals. Amendments to the policy may be made based on the outcomes of the review and changing needs of the university and its student-athletes.

Contact Information

For further information or inquiries regarding the athletic scholarship, students may contact the Deanship of Student Affairs, Admissions, and Registration.

Approval

This policy has been approved by the Deanship of Student Affairs, Admissions, and Registration, University Council, and the University President and is effective as of June 1, 2024.

Facilities Department

Laboratory Safety Manual -FD001

Policy Code

FD001

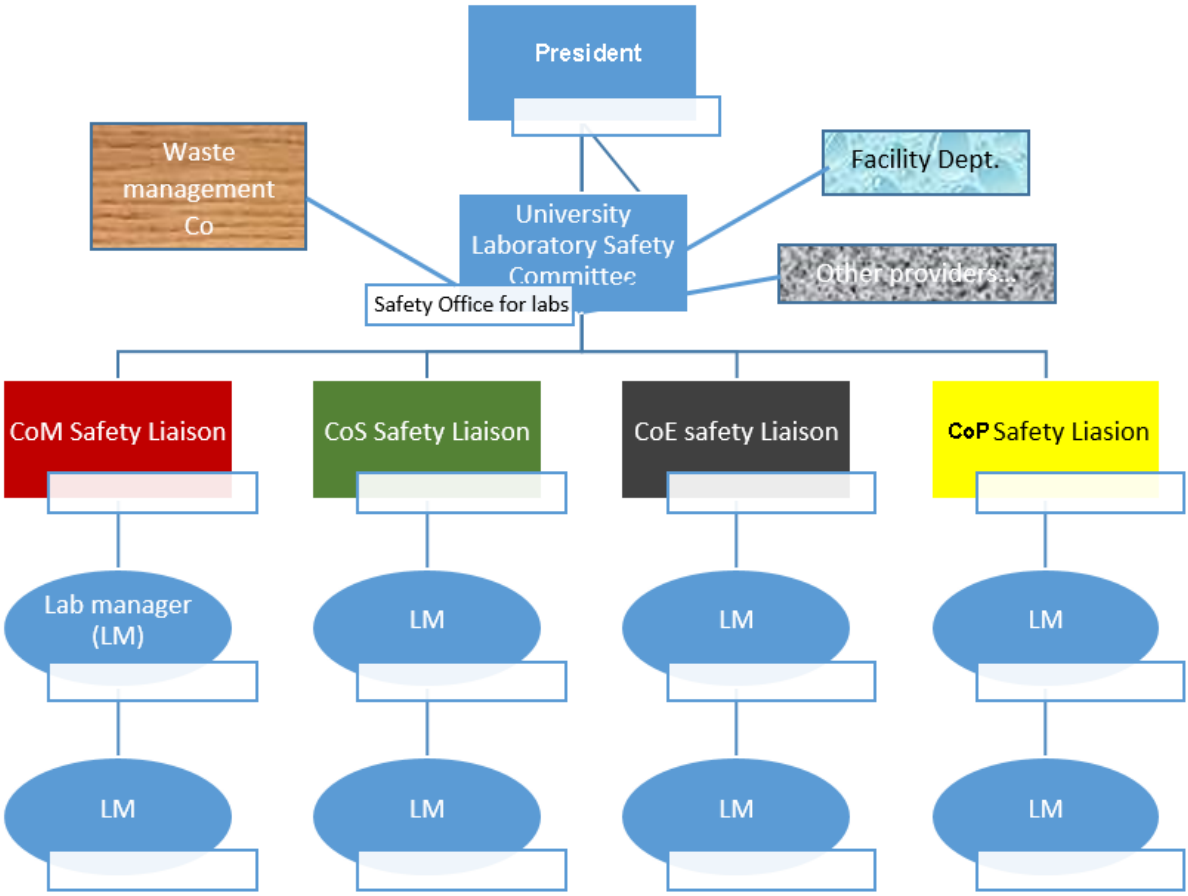
This Laboratory Safety Manual has been adopted from documents of various respected Institutions to fit ALFAISAL UNIVERSITY Campus. It provides guidance on the safe handling of hazardous substances and general laboratory safety practices.

At Alfaisal it has been agreed for sake of safety on a broad Laboratory definition which includes, classical laboratory: biological, chemical, physical laboratories, computer, engineering, mechanical workshops where teaching and/or research is performed, Professional skills labs and the like.

Thus laboratory is defined as *any location at which Research or Teaching is performed using reagents or instruments/equipment thus posing a potential hazard to humans.*

Obviously the risks will be different in the different labs and counselling, inspections and training will focus on what is more relevant in the specific settings.

A current version of the Laboratory Safety Manual is to be available in each Research and Instructional Laboratory, and Laboratory personnel must be familiar with the contents of this Manual and related safety Manuals.
Knowledge of this material must be documented by a signed form (Annex 3).



Emergency Contact Information

Each laboratory must post emergency contact information near the laboratory exit.
Laboratory Facility Committee Chair: Hana Abdallah
Email: haabdalla@alfaisal.edu — Tel: Ext 7920
and the
***Facility Dept* Person:** Mr. Mousa AlMalki
Office ex: 7853 — **Mobile:** 0554499011

Emergency Response and Evacuation Procedures Manual -FD002

Policy Code
FD002
Approval Date
Mon, 06/08/2015 - 12:00

1. Introduction

This Emergency Response and Evacuation procedure manual is to familiarize all members of Alfaisal community with the emergency procedures in place to facilitate safe, orderly and timely evacuation when necessary.

The main objectives of this Fire Drill and Emergency Evacuation procedure are as below:

- To provide an orderly emergency response plan for all occupants.
- To ensure all exit routes, emergency staircases are not obstructed and can be used in an orderly fashion during emergencies.
- To ensure fast, organized and smooth evacuation of buildings during emergencies.
- To train the members of Emergency Response Team to conduct their duties successfully.
- To test the working conditions and effectiveness of all fire and emergency equipment for all buildings.

Whilst fire is the principal reason for the implementation of an evacuation plan, other instances such as gas leak, bomb scare, Hazardous material spill etc., may well necessitate evacuation of the premises.

It is of vital importance that all members of Alfaisal are familiar with the procedure. In the event that any part of this procedure is unclear, please contact Facility Department.

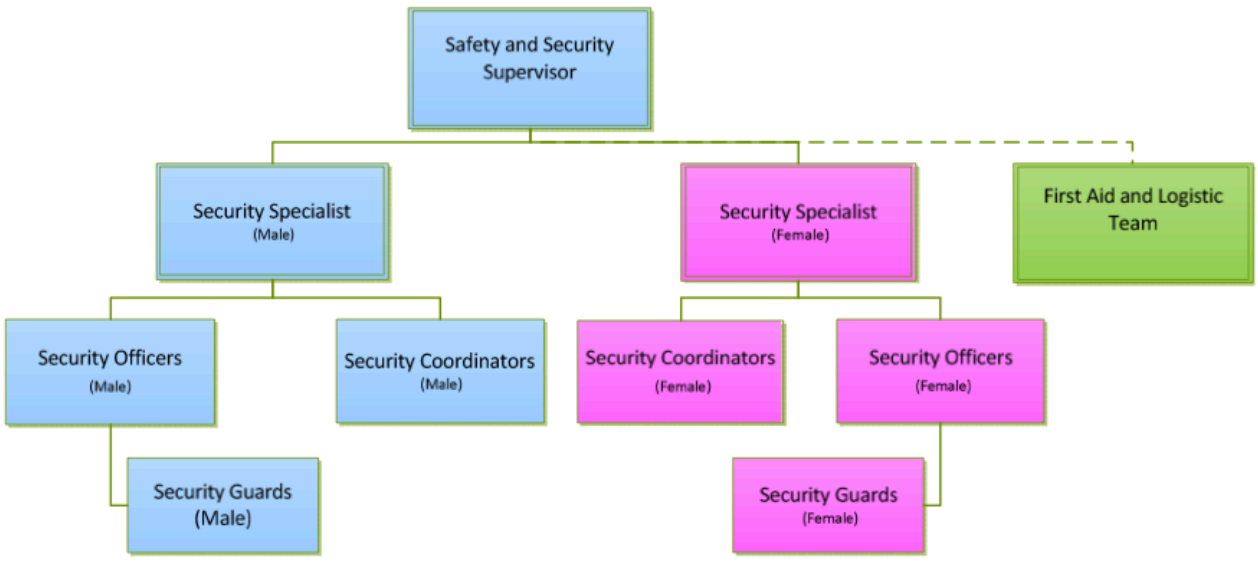
2. Emergency Response Team (ERT) / Set Up

The size and configuration of the premises, together with the type of occupancy, will determine the interval between practice evacuations. The period between evacuations can vary between semiannually and annually.

2.1 Emergency Response Team (ERT) members:

- Safety and Security Supervisor (SSS)
- Security Specialists (SS)
- Security Officers (SO)
- Security Guards (SG)
- Search and Rescue Team
- Security Coordinators (SC)
- First Aid and Logistic Team
- Observer and Strategist (Senior Facility Manager)
- Support Team (O&M and Housekeeping)

2.1.1 ERT Organization Chart



2.2 Job responsibility of each of the ERT members.

2.2.1 Safety and Security Supervisor (SSS)

- Overall control of incident/drill
- Operates from Fire Control Room
- Assisted by Security Specialists & Security Coordinators
- Determines location of fire
- Formulate control actions and advise
- Mobilize Fire Fighting team/Security Guards
- Co-ordinate with SS, SO,SC, SG & Fire Fighting Team
- Informs / update management of incident
- Liaise with Civil Defense Department

2.2.2 Security Specialists (SS)

- In-charge of evacuation
- To be present at assembly area
- Co-ordinate with SC
- Roll Call & Verify missing persons
- Co-ordinate with First Aid and Logistic Team

2.2.3 Security Officers (SO)

- Assemble at the Fire Control Room
- To lead the team to the floor
- Fighting fire, if it is small
- Report status to SS and SSS.

2.2.4 Security Guards (SG)

- Last person to leave the floor
- To lead occupants to the corridor
- Wait for the announcement / instruction
- Lead the occupants through the staircase to the assembly area
- Line them up for the roll call
- Inform the SS of missing persons
- Assist in re-entry process
- To search and rescue occupants / victims
- To lead occupants / victim to the assembly area
- Report status to SS.

2.2.5 Security Coordinators (SC)

- In-charge of Building Security
- Control human movements
- Operate from reception/Entrance/Gate
- Ensure vehicle movement is stopped
- Coordinate with Security, O&M, Housekeeping & HR Personnel
- Ensure clear access for emergency services and Civil defense

2.2.6 First Aid and Logistic Team

- Keep ERT advised of any injury / serious injury or casualty

- Assists in treatment of casualties and render first aid as required
- Make arrangement for ambulance
- Report status to SSS

3. Preparations:

The items below are to be prepared prior to conducting a fire drill:

- Formation of Emergency Response team and assignment of roles and responsibilities to each constituent member.
- Prepare evacuation floor plans.
- Determine the Assembly Area.
- Determine the evacuation route, exit doors, and emergency staircases are not obstructed, please refer to Appendix B.
- Commands and evacuation orders for building occupants are prepared.
- Prepare equipment(s) required for the fire drill & evacuation exercise.

4. Actions to be taken when conducting the Drill

The activities / actions below are to be carried out during a Fire Drill:

- Sound the fire alarm and announce on PA system “FIRE, FIRE, FIRE.”
- Follow the emergency procedures, as below:
  - Actions to execute when fire is discovered, please refer to Appendix A.
  - Actions to execute when order to evacuate building is given, please refer to Appendix A.
  - Actions to execute when Hazardous material (Chemical, Biological) spill is discovered, please refer to Appendix A.
- Emergency Response team to carry out their duties.
- ERT members are to call for evacuees to gather and conduct a headcount.
- Numbers are to be reported to the Management.
- Details such as time needed to evacuate, methods of evacuations, rescue activities, comments, etc., are to be recorded by ERT.

5. Closing

Fire or any other emergencies could happen at any time without warning. They can hurt or take lives and destroy properties. A Fire Drill and Emergency Evacuation is a necessary exercise that the organization should embark on to ensure readiness and preparedness of the staff in the event of an emergency. In any emergency situation, saving lives shall always be the first and foremost priority.

6. Appendix A

6.1 Emergency Procedures

6.1.1 You discover a fire:

- Help people in immediate danger
- Warn others by shouting “Fire, Fire, Fire”, raise the alarm by breaking the nearest “break glass panel” if not yet already sounding, and contact Emergency Response

Team at the numbers below;

SSS: 7853

SS: 7864

SC: 7857

- Decide if you can put the fire out, if you are not sure, do not attempt to.
- Don't attempt to use a fire extinguisher if you have never been instructed on how to use one.
- If you can put out the fire then do so, if not proceed to evacuate the building.
- Inform the Security Department of the fire location and details.

6.1.2 You discover a Hazardous material Spill:

- Move away from a spill to a safe location, alerting others and closing doors behind you.
- If possible without endangering others shut off any ignition source.
- If exposed, utilize eye wash or deluge shower to minimize health risks.
- If someone could be in danger, call ERT or activate building fire alarm if evacuation is necessary.
- Wait in safe location for responders and follow their instructions.

6.1.3 You hear the fire alarm ringing or when order to evacuate the building is given:

- Prepare yourself to evacuate the building.
- Switch off all computers, printers and electrical appliances.
- Close all doors.
- Gather your personal belongings in preparation to immediately evacuate the building.
- Organize/help other people in the room.

6.1.4 While Evacuating the building and proceeding to the assembly area:

- Move at a quick walk, do not run.
- DO NOT:
    - PANIC
    - Use the ELEVATORS
    - Return to the office / room to take things
    - Overtake or push other evacuees
    - Be playful, joke around or make light of the evacuation
- If you have to move through a closed door that you cannot see through:
    - Feel the door to see if it is hot;
    - Look for smoke coming under the door;
    - Open the door slowly and look around it to see if there is a fire behind it;
    - If there is no fire on the other side, proceed through and close the door behind you;
- Evacuate the building using the nearest emergency exit route, refer to Appendix B.
- If the smoke is too thick, get under the smoke by crawling. You should be able to see where you are going.
- If there are occupants who are sick, hurt or disabled, assist them to evacuate the building.
- Move to the assembly areas as quickly as possible.
- Report to Emergency response team that you/your group is there and if you know of anyone trapped in the building;
- Remain in the assembly area and wait for instructions from ERT members.
- Re-enter the building in an orderly fashion only AFTER the building is declared safe by ERT.

6.1.5 Do not dillydally: REMEMBER

- Fires spread rapidly;
- Fires produce thick black smoke that is difficult to see through and causes suffocation;
- The freshest air will always be near the floor;
- Move quickly. Do not run;
- Be decisive;
- Think for 10 to 30 seconds;

- Make a decision and follow that decision

6.1.6 Mobility impaired people

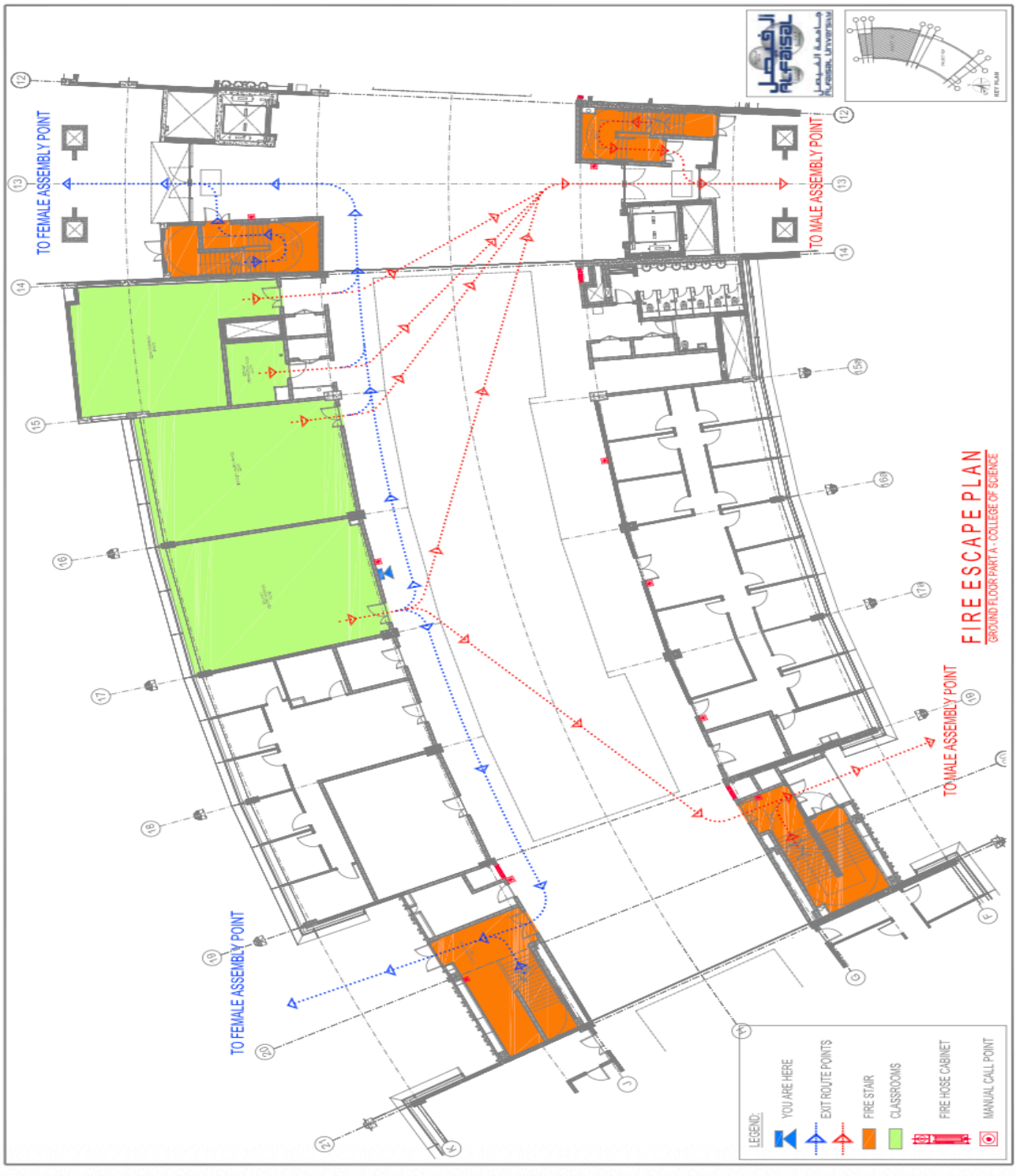
If you encounter a person with some form of physical disability that restricts their mobility, you may be required to assist them from the building. If you are unable to remove them from the building many stairwells have large open areas nearby. They can be left here, where they will be retrieved by emergency personnel on arrival. It is important to inform the ERT members of their location so that they can be retrieved as soon as possible.

7 Appendix B

7.1 Fire Escape Floor Plans

When told to evacuate the building for any emergency, please do so using the nearest emergency exit and report to Assembly Point. You can located the nearest exit and assembly point on the floor plans installed all over the campus premises, please refer to the attached “FIRE ESCAPE FLOOR PLANS” and identify the one for your area/ premises.

LEGEND:
YOU ARE HERE
EXIT ROUTE POINTS
FIRE STAIR
FACULTY STAFFS
FIRE HOSE CABINET
MANUAL CALL POINT
TO FEMALE ASSEMBLY POINT
TO MALE ASSEMBLY POINT
TO MALE ASSEMBLY POINT
TO FEMALE ASSEMBLY POINT
FIRE ESCAPE PLAN
GROUND FLOOR PART A- COLLEGE OF SCIENCE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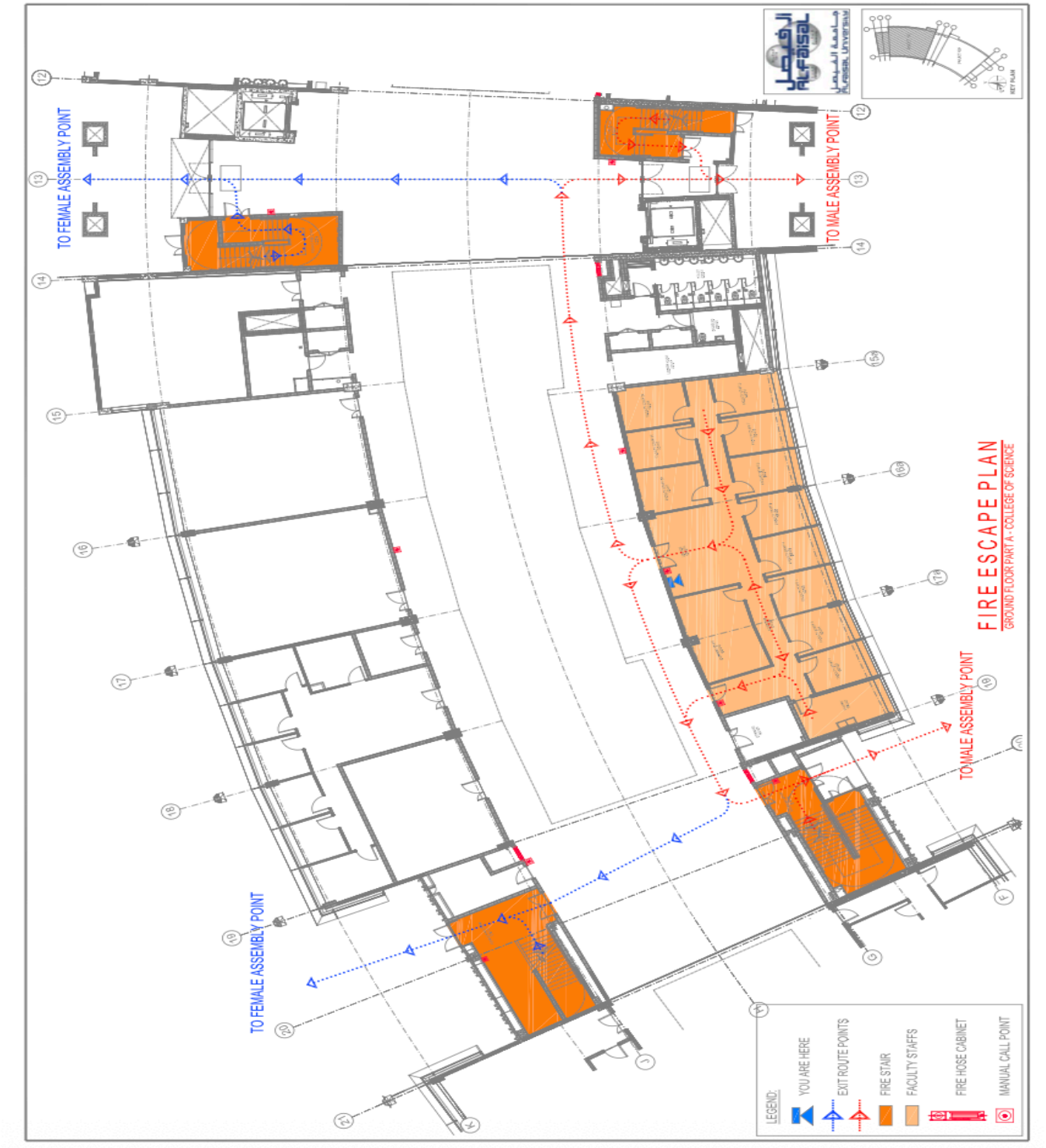
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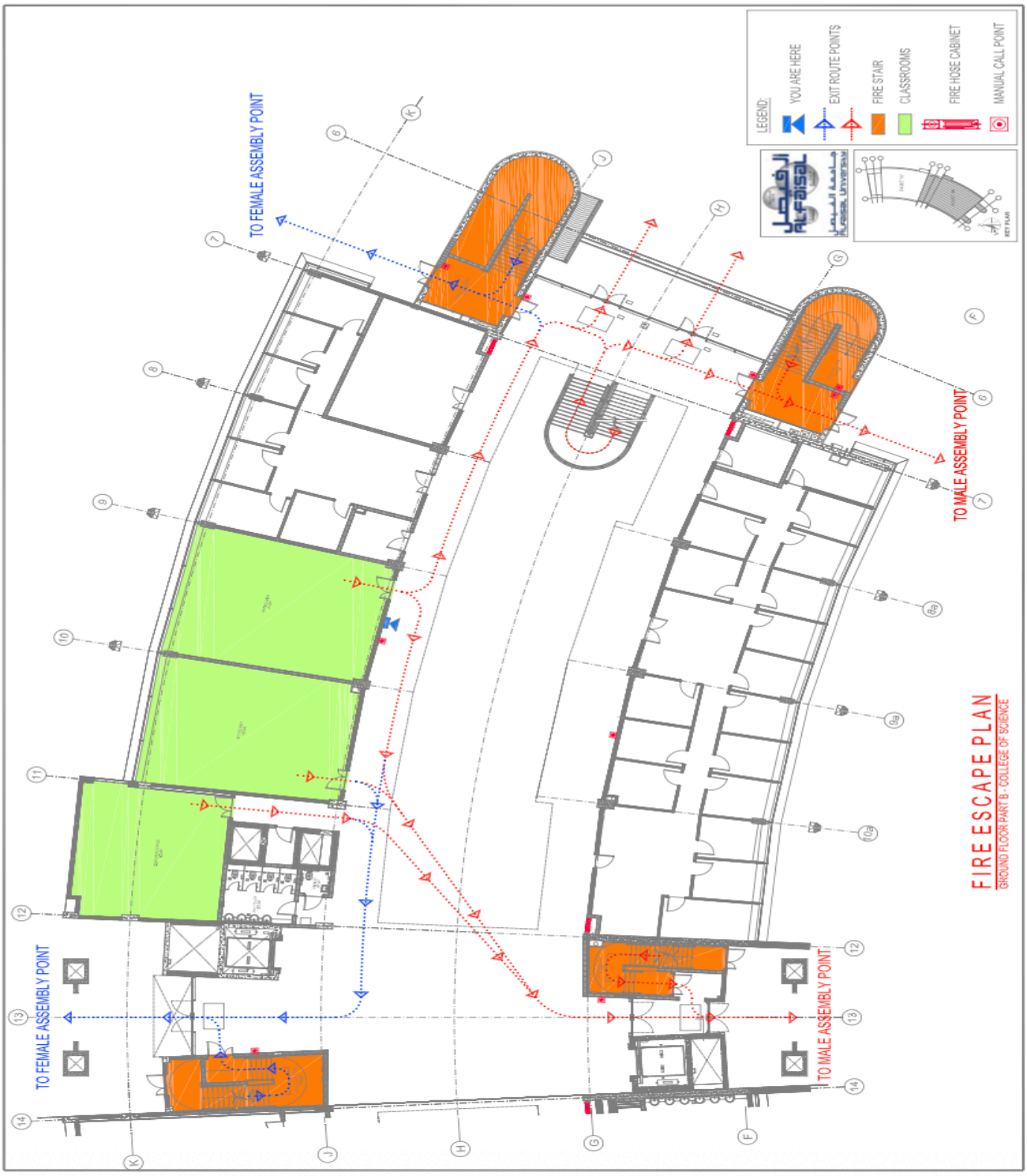
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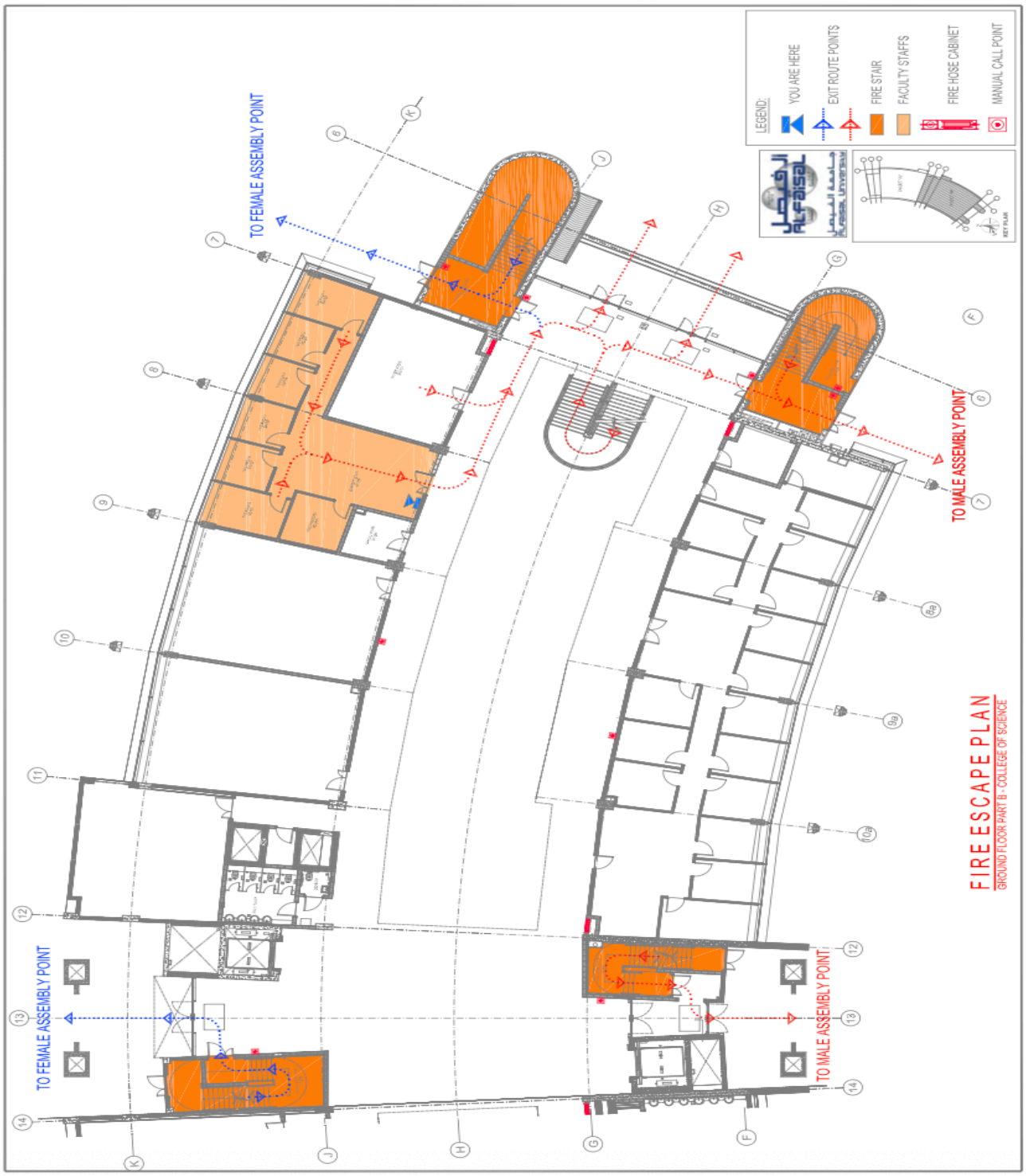
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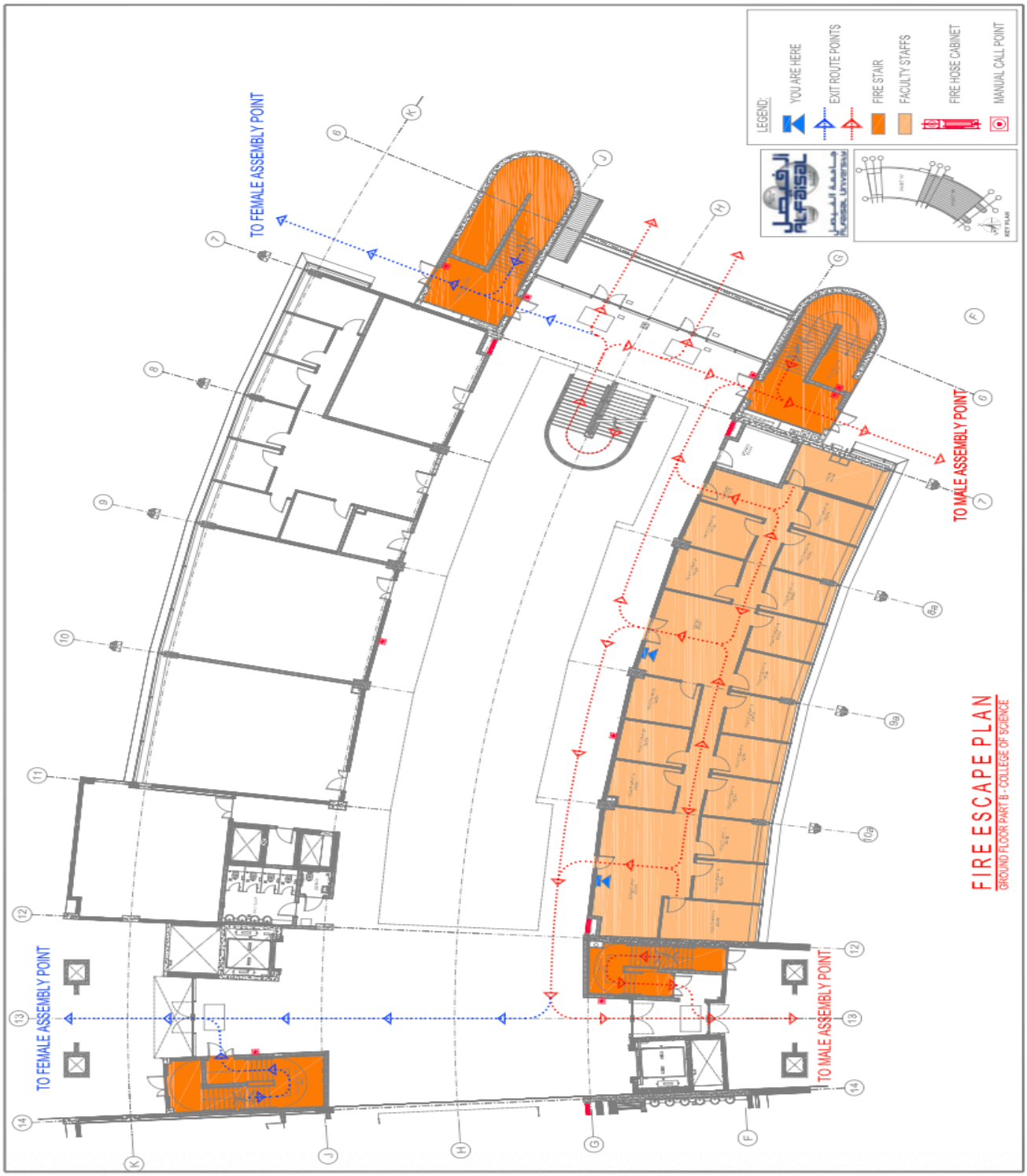
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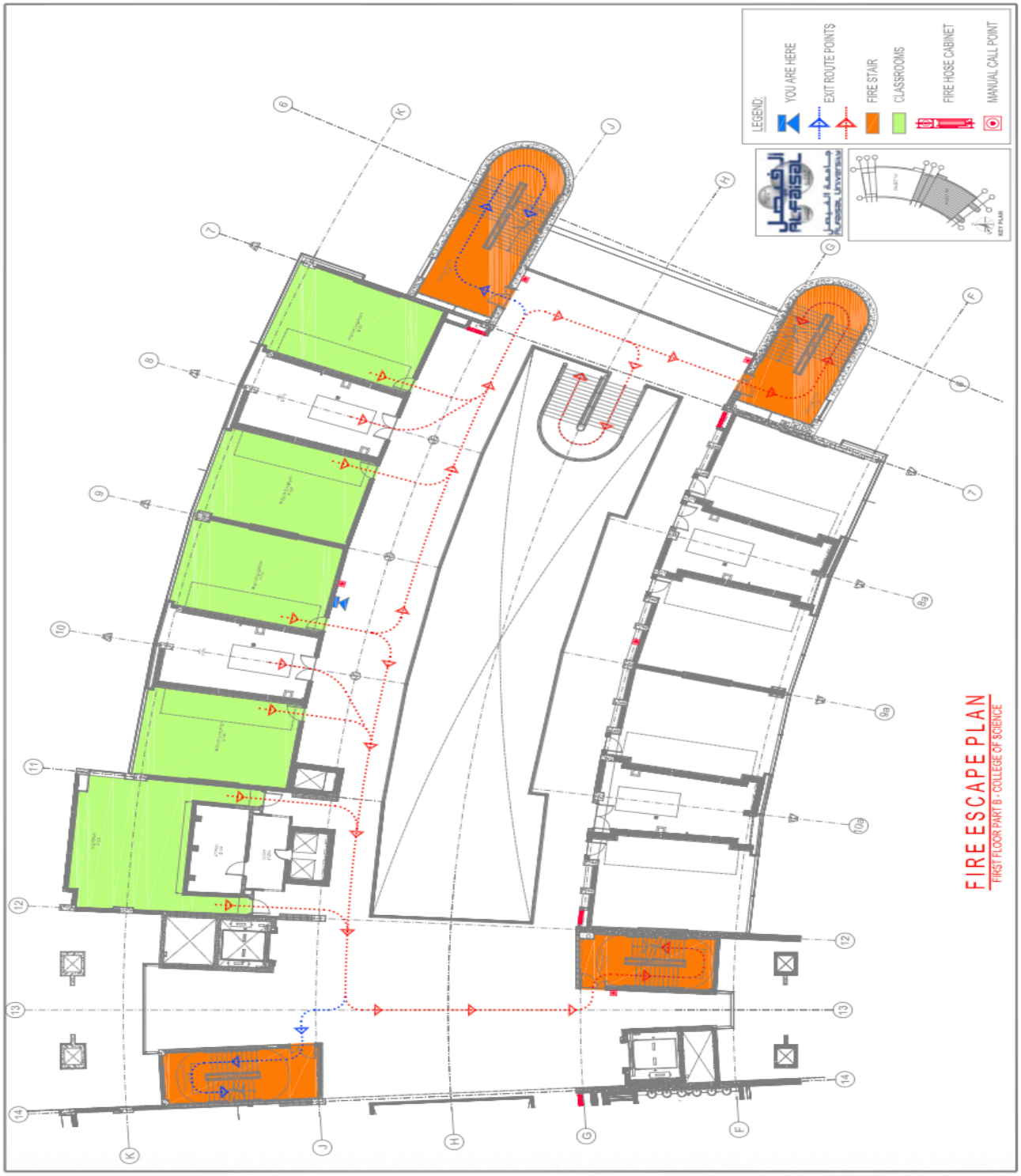
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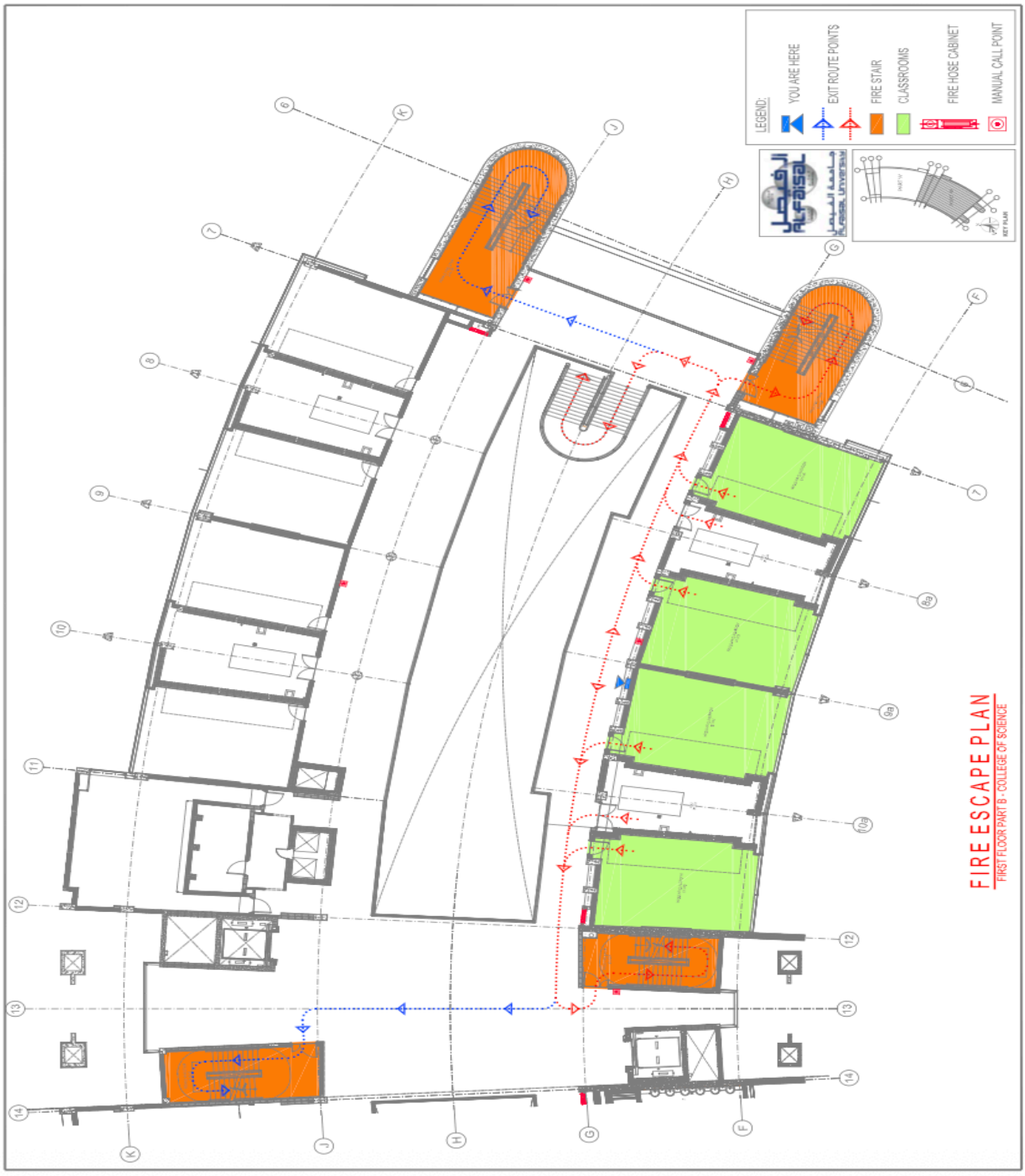
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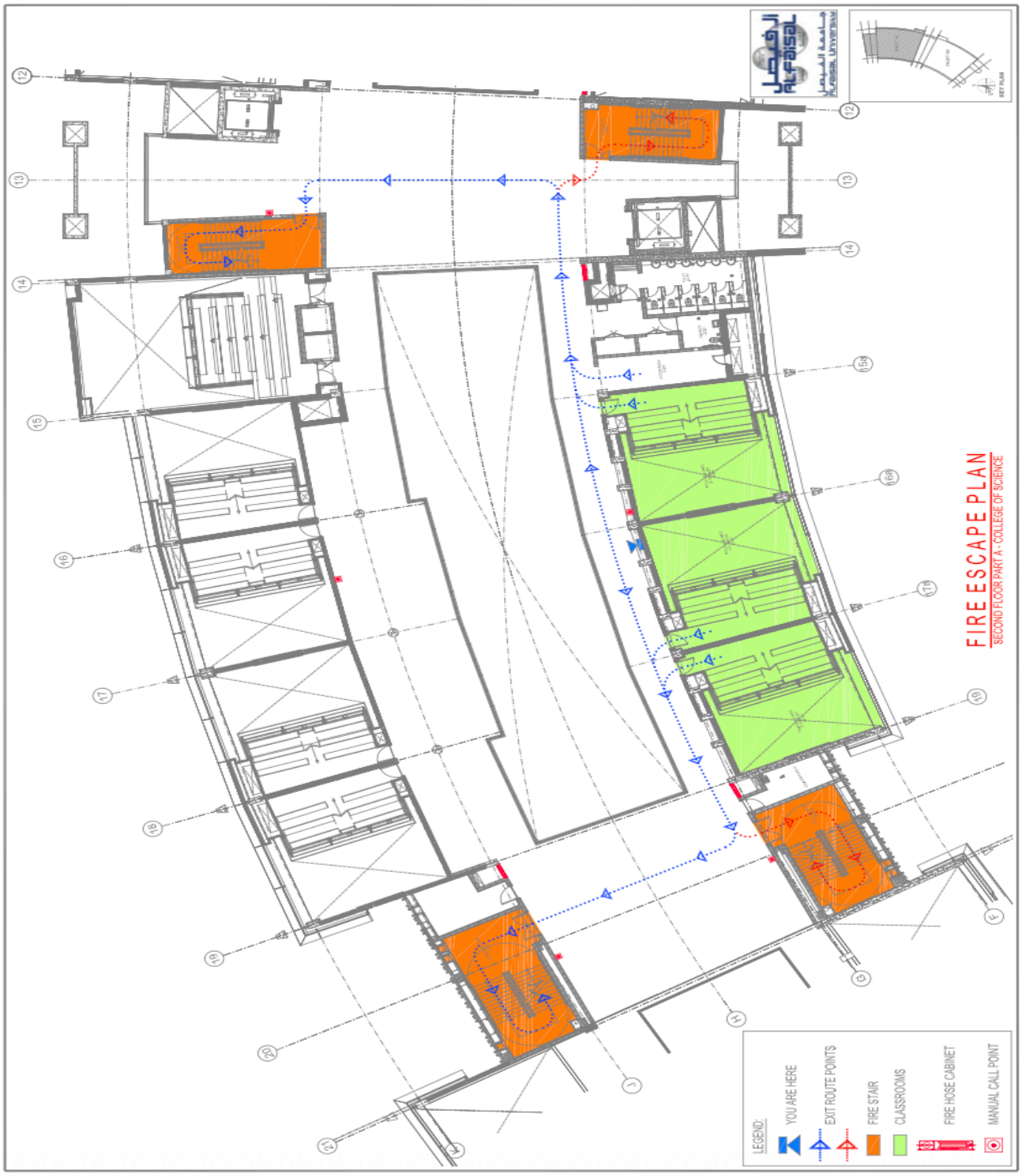
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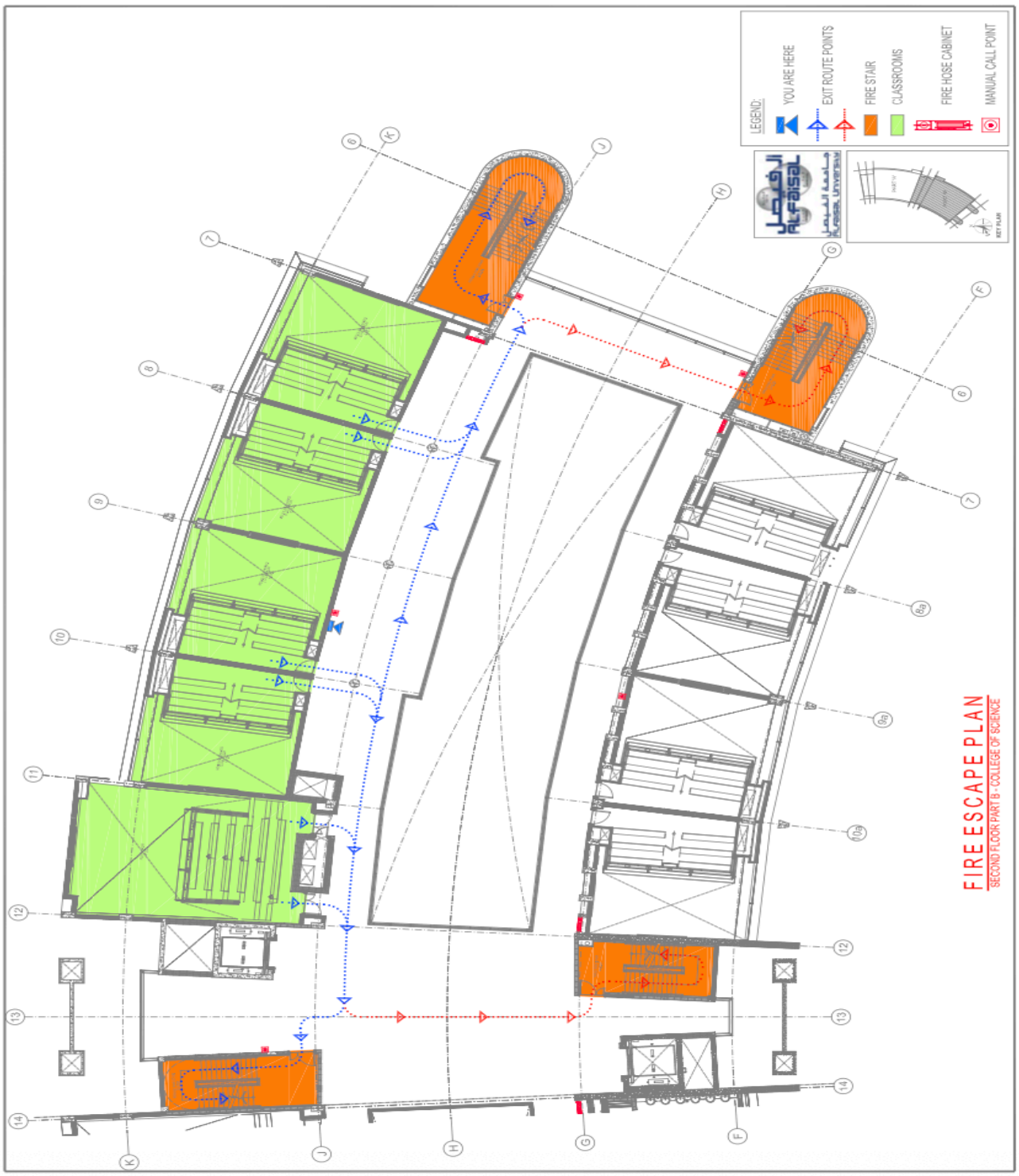
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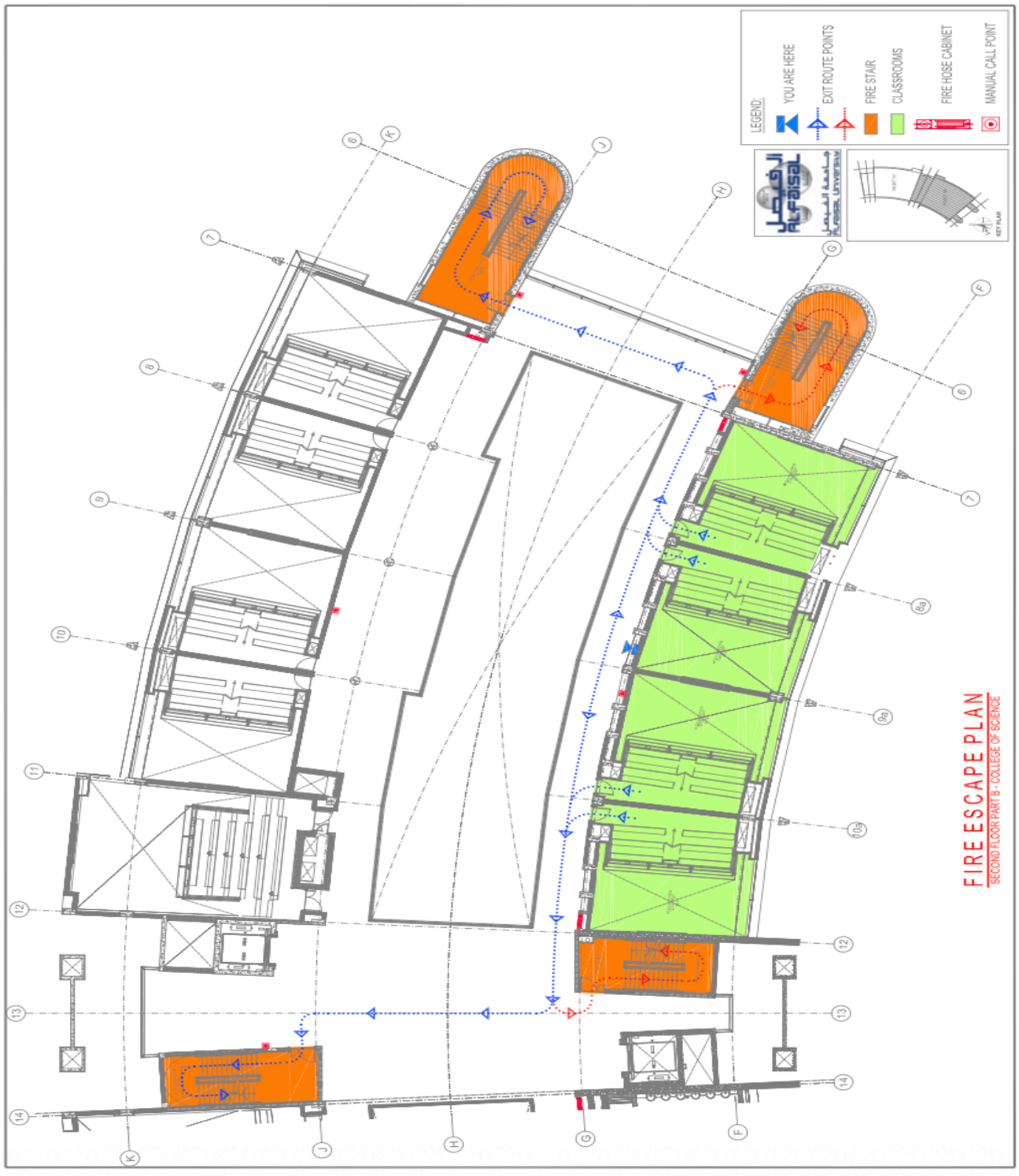
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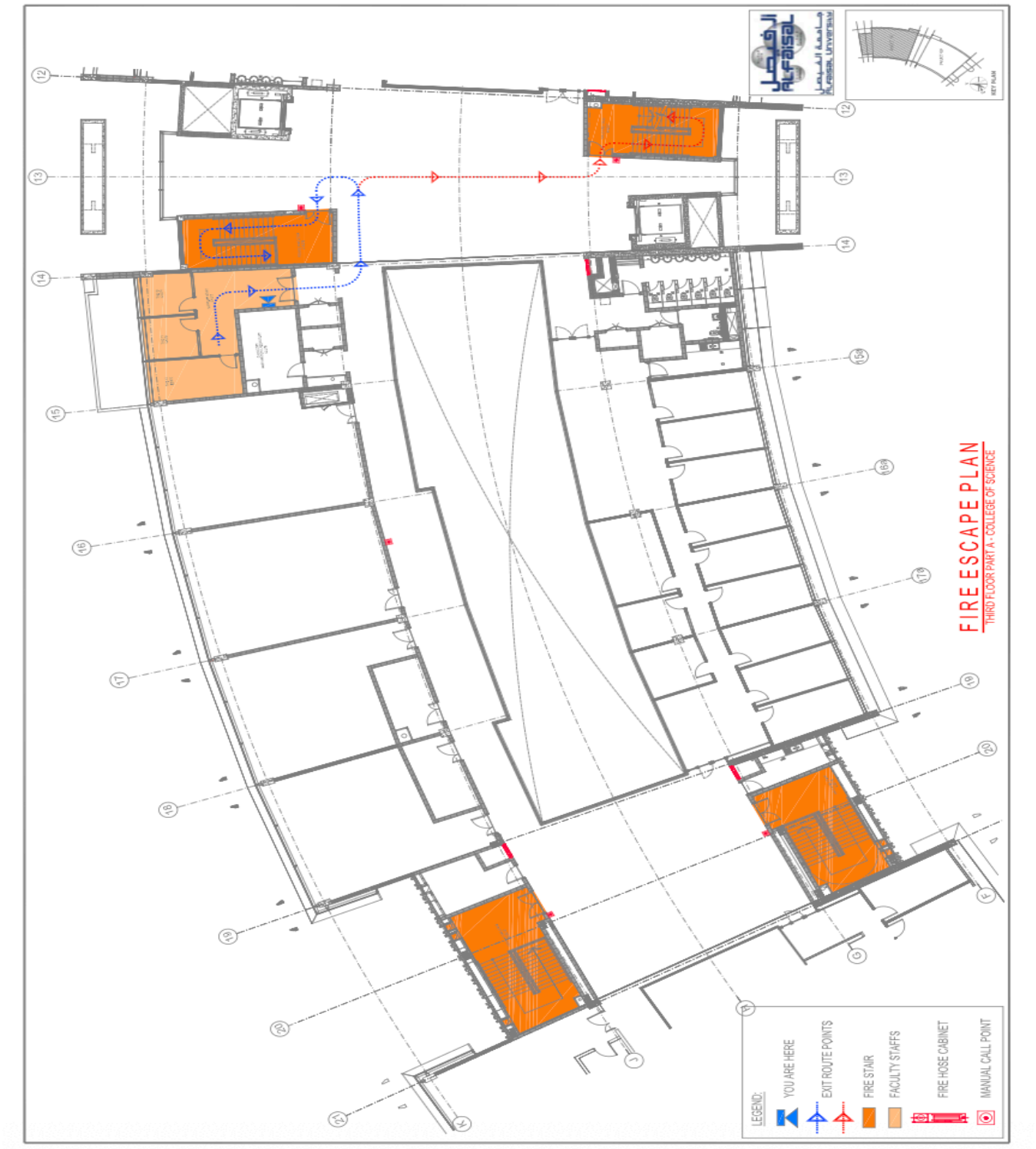
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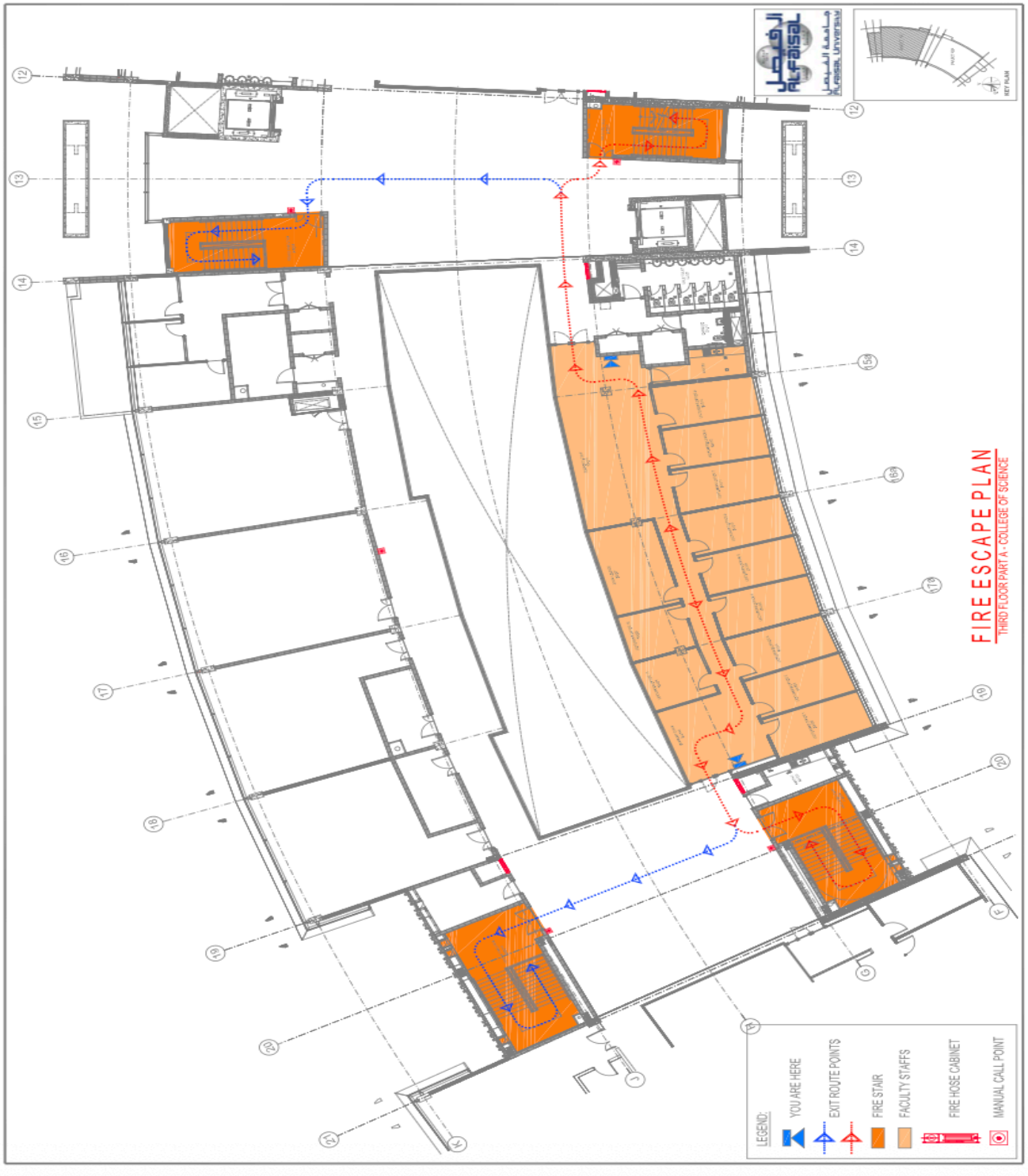
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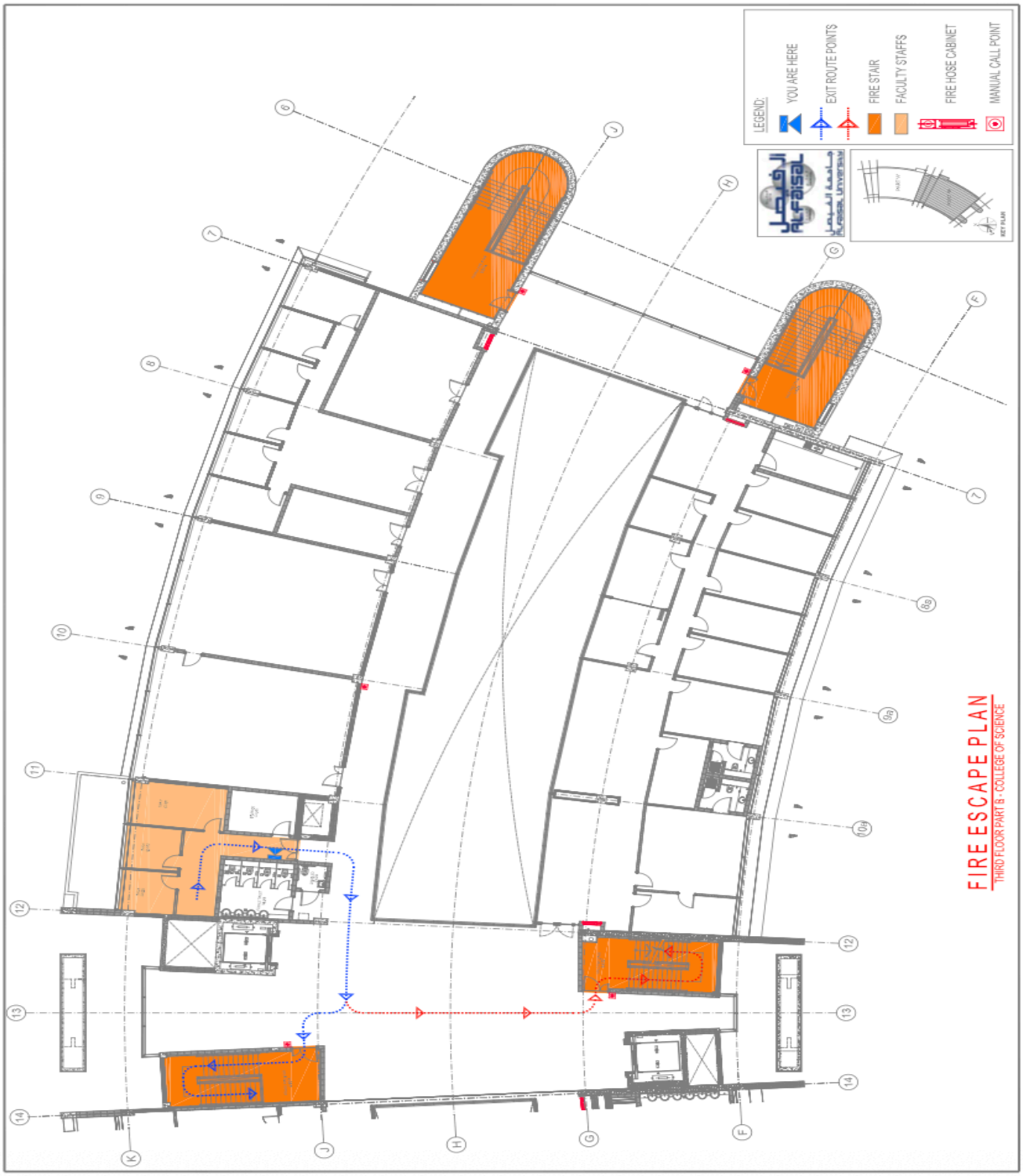
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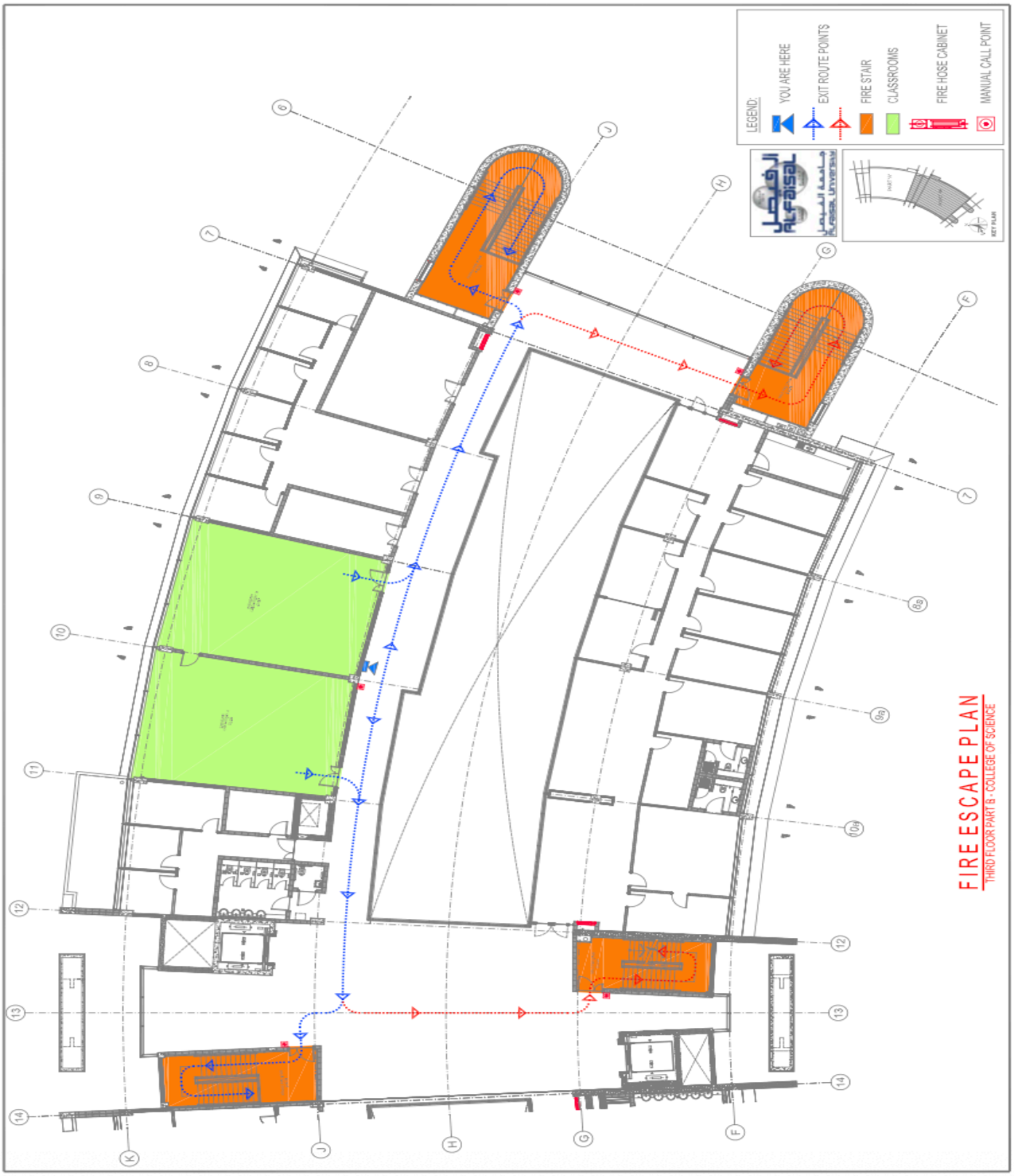
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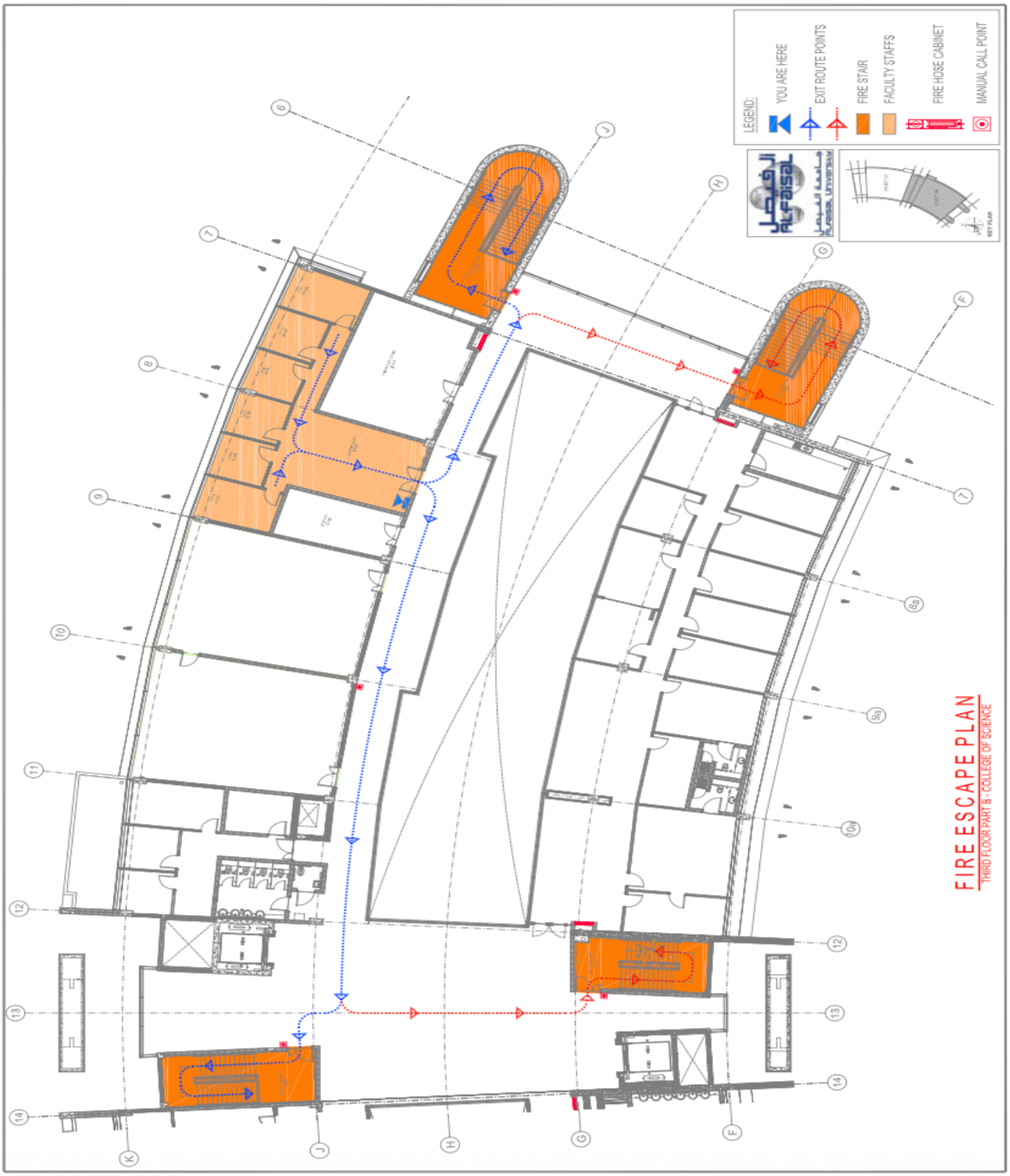
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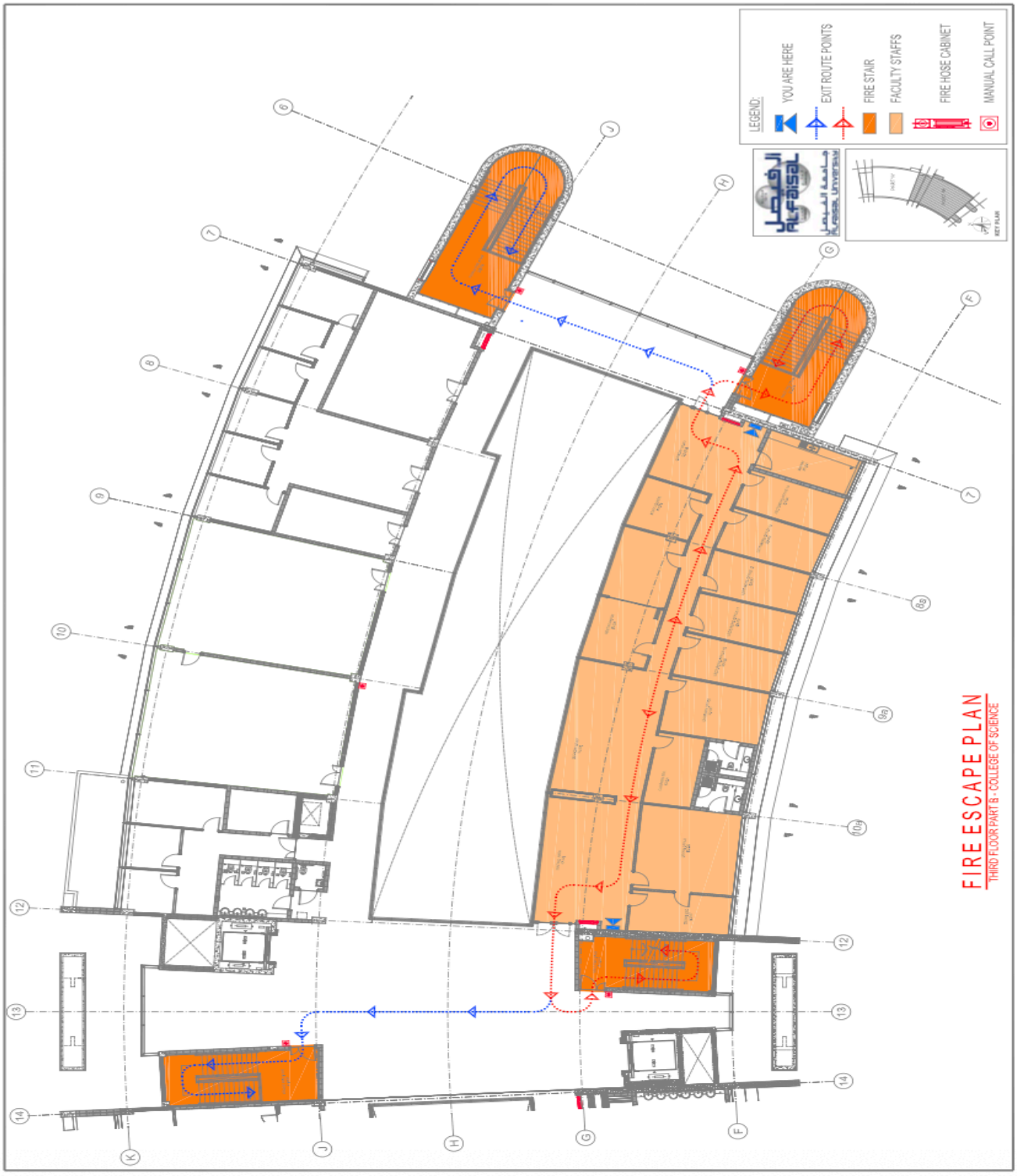
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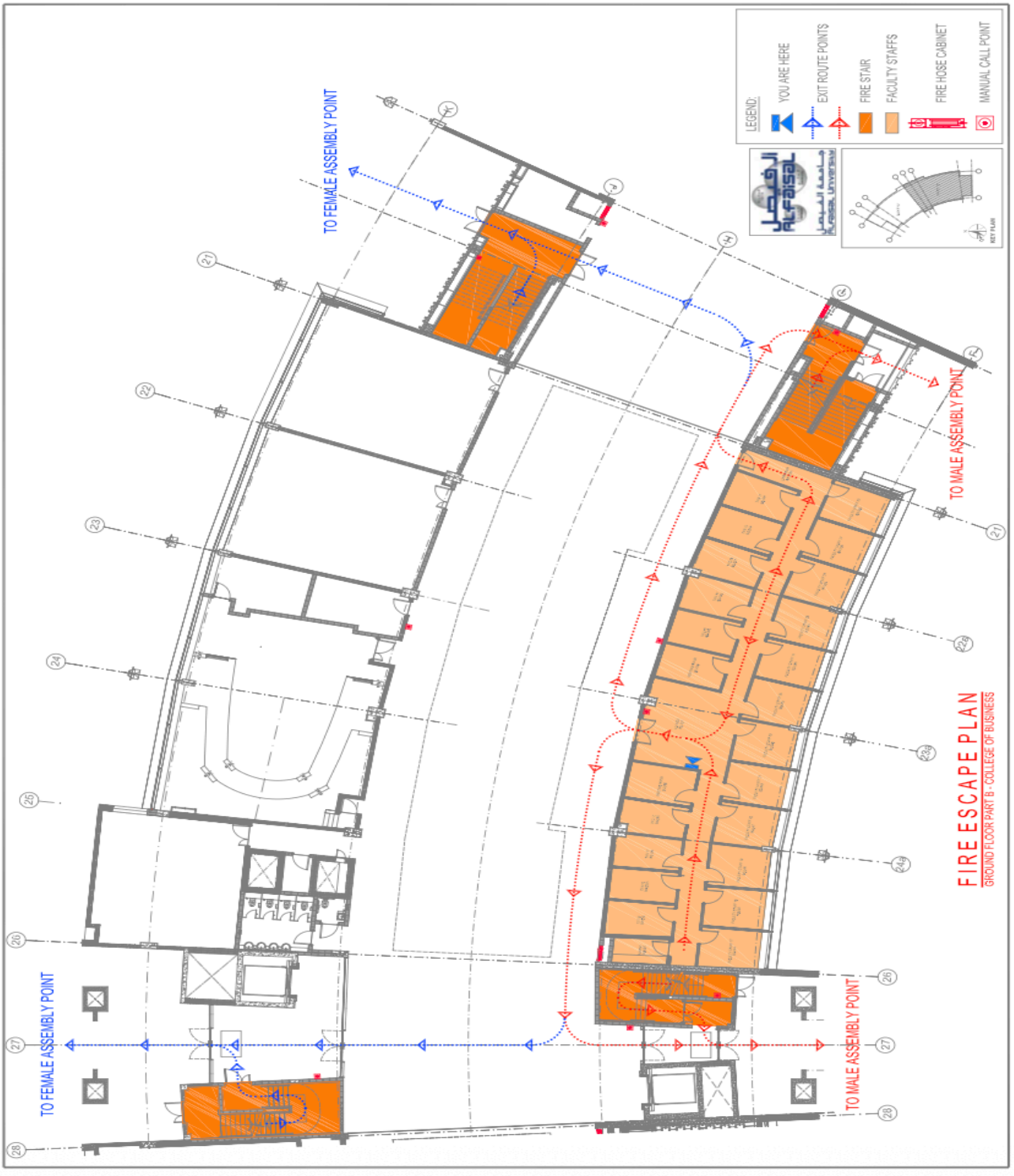
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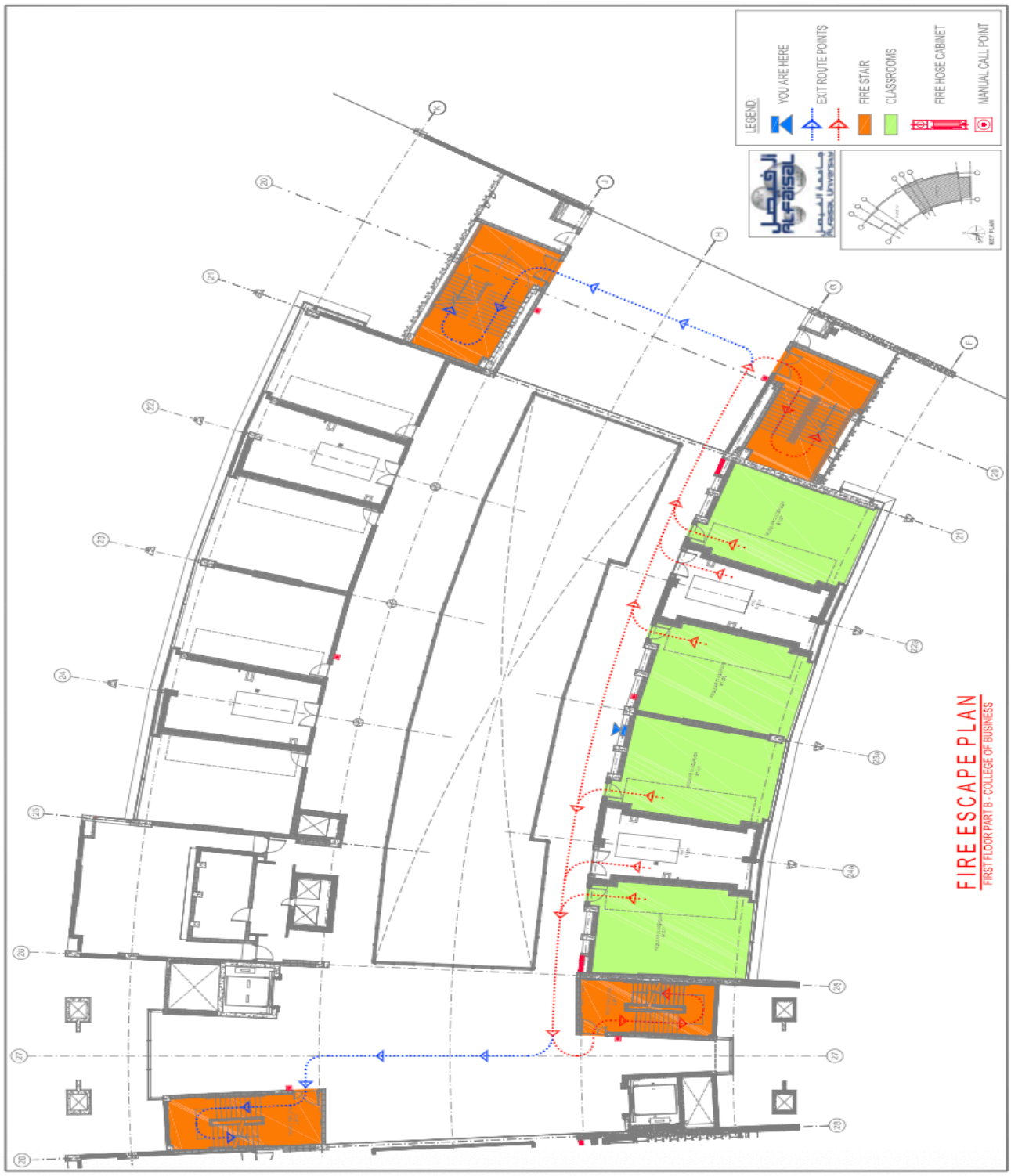
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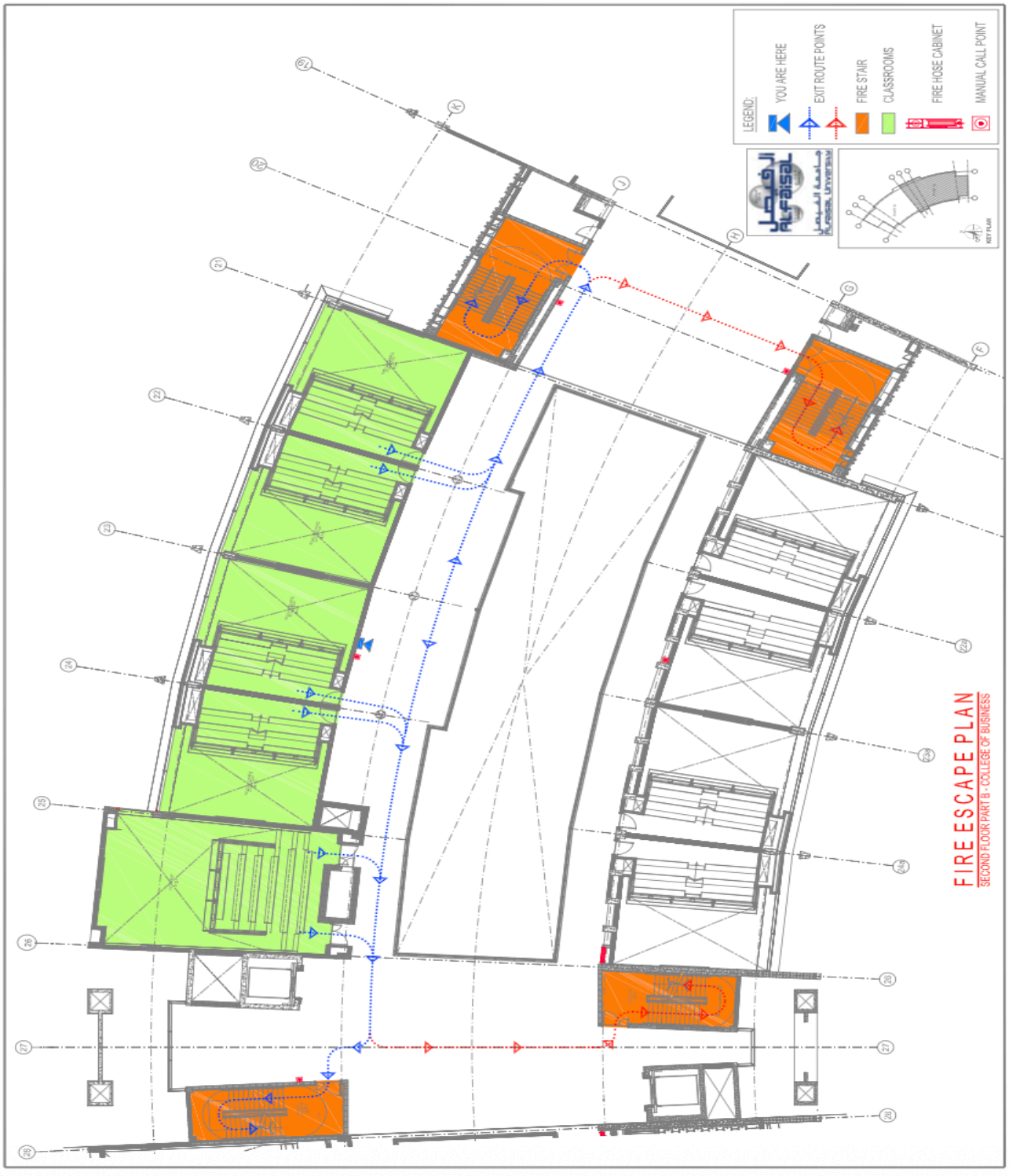
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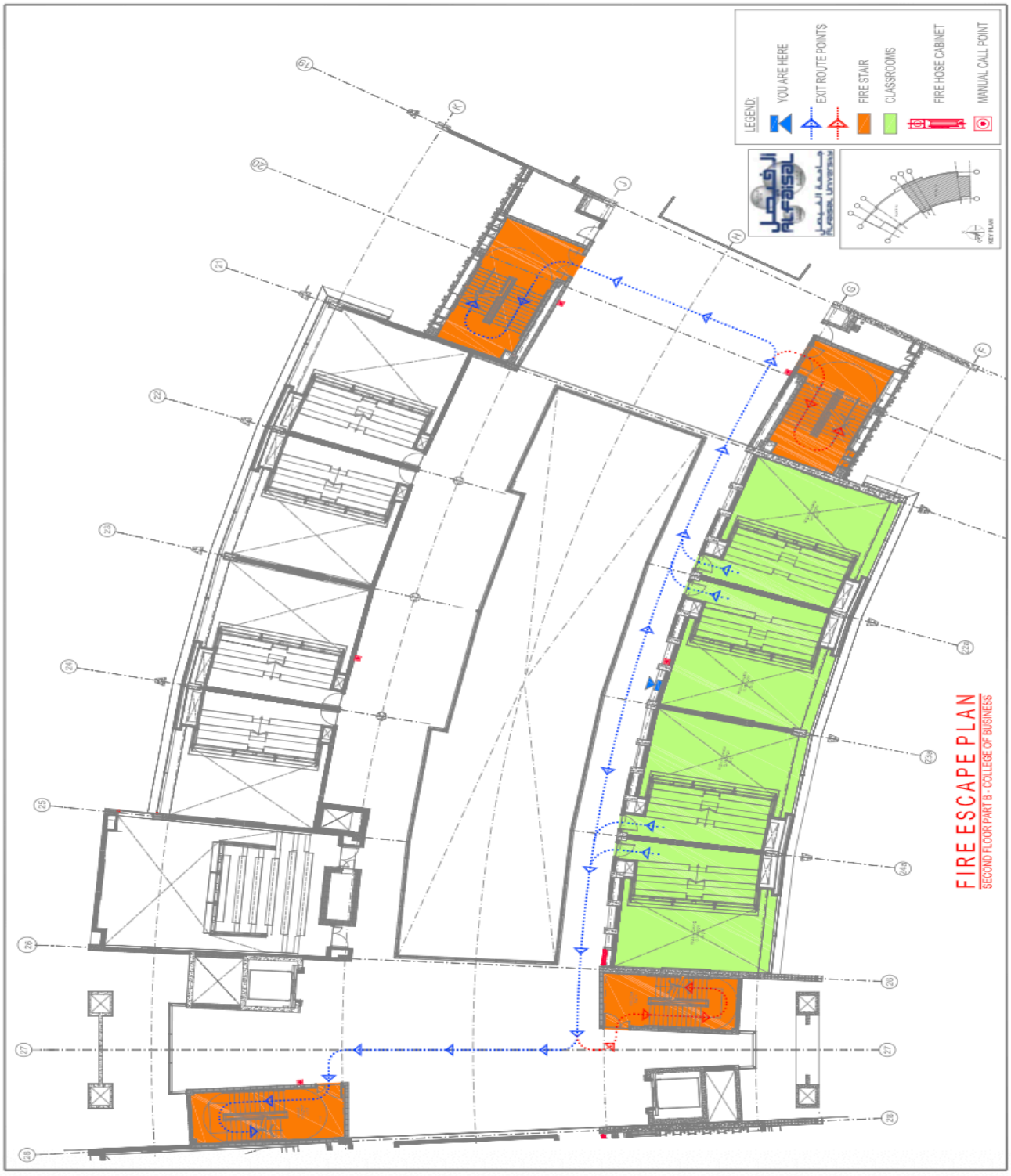
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FIRE ESCAPE PLAN
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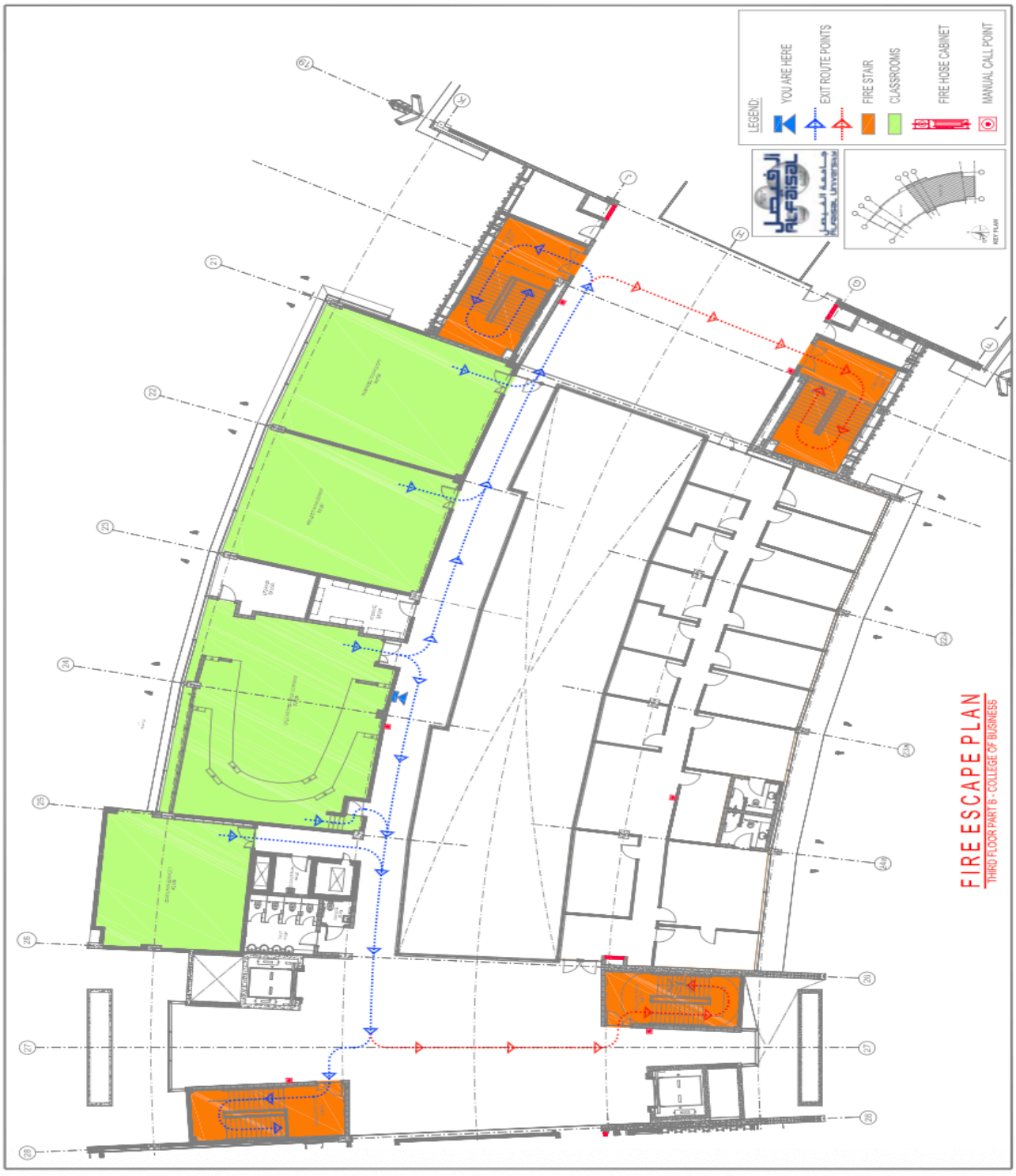
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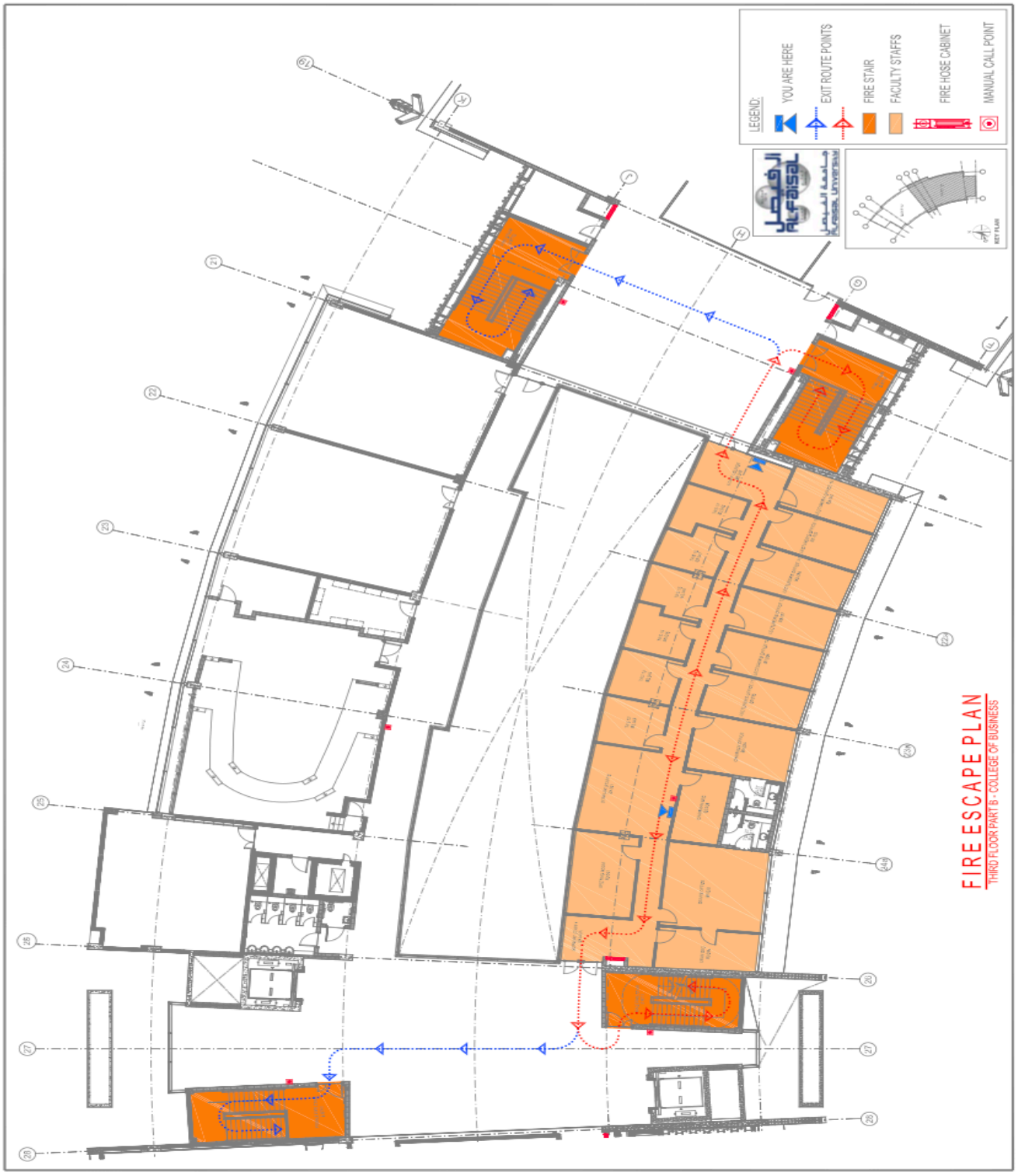

Facility Operations and Management -FD003

Policy Code

FD003

I. Authority and Roles

A. **Director of Facility Management (DFM)**
The DFM shall be responsible for managing the Maintenance Service Program (MSP) in accordance with these policies. The following limits on authority shall apply:
- Authorization of purchases within the approved budget of any project or up to SR1, 000.
- Prioritization of all work assignments utilizing MSP staff or outside contractors.
- As authorized by these policies.

B. **Facility Managers (FM)**
The FM shall be responsible for coordinating work on site by MSP and/or building staff, including:
- Properly completing all work orders based on maintenance requests received from occupants or originated by FM.
- Requesting DFM to assign work orders to MSP staff or timely forwarding of work orders to the main office.
- Arranging legal access to all occupied units as necessary for MSP personnel.
- Inspecting completed work and notifying DFM of any problems.

C. **Maintenance Supervisor (MS)**
The MS shall be responsible for:
- Scheduling maintenance work.
- Accomplishing all work in a timely and professional manner and as directed by the DFM.
- Being available for emergencies, and making appropriate arrangements for communication when not available.
- Complete all paperwork in the manner required by these policies and the Accounting Policies.
- Maintenance of all staging areas in an orderly fashion.
- Maintenance of all tools and equipment, including identification and security measures.
- Maintenance of all inventory and supplies, including the cost of acquiring them.
- Respecting the private property of occupants and treating all occupants in a courteous and respectful manner.

Section 1.0 Maintenance and Repairs

1.1 Repairs

- l.l(a) Communication: All occupants shall be provided with reasonable access to Maintenance Request Forms for use in securing maintenance/repair services. The Repair Request Forms signed by the tenant shall give the tenant the option to authorize staff and/or vendors to enter the premises for the purpose of performing the needed repair without further notice. If such permission is not granted, the FM shall be responsible for providing at least forty-eight (48) hours written notice to the occupant of the unit except in the case of an emergency, when whatever notice is deemed reasonable shall be given. In all cases, no staff shall enter an apartment without ample announcement of their intended entry to any person who may be inside the apartment.
- 1.1 (b) Work Orders: All activities of MSP staff shall be pursuant to a work order. The DFM or FM shall complete the work order based on information called in or provided on the Repair Request Form. Minor repairs and maintenance items may be performed by the FM and/or Assistant Manager (AM).
- 1.1 (c) Response by Maintenance: It shall be the goal of Maintenance to respond to non- emergency work orders within 48 hours and complete the repair within 5 days of request by a tenant. Upon receipt of a properly completed work order the DFM shall prioritize and schedule the work. Emergency work orders will be responded to immediately or within 24 hours. Emergency Information Sheets for each building will be maintained by DFM.
- 1.1 (d) Scheduling: The DFM and MSP staff shall meet daily to coordinate scheduling of workorders. The DFM will determine whether MSP staff or outside contractors are used on specific jobs. DFM will consider the following factors before deteFMination:
  - skill level of current MSP staff;
  - workload of MSP staff;

- anticipated time for job. Generally, if job will take longer than 8 hours, an outside contractor will be used.
- anticipated cost of job. Generally, if an outside contractor can do the job for less cost than MSP, we will use the outside contractor.

1.2 Regular Cleaning

The FM and/or AM shall be responsible for maintaining all building common areas in a clean and orderly condition as follows:

Exterior
Check garbage area regularly: The garbage area is clean and containers are securely fastened with lids. Dumpsters and garbage areas are washed/scrubbed weekly with hot water and degreaser detergent. Garbage containers are adequate size for amount of garbage. The area does not have a strong odor. Neighbors are not using the building's garbage receptacles.

Recycling areas: The central recycling area is clean. Containers are not overly full and the scheduled pick-up/ disposal has occurred. Paper materials are neatly stacked and present no fire hazard. The recycling area is used only by occupants.

Yard areas are clean and attractive: Front and rear yard are not littered with toys, equipment, or debris. Plantings, garden beds and lawns are well maintained and weed free.

Lighting: Exterior lights are all working properly.

Parking: Parking areas shall be kept clean and free of trash at all times. Weekly sweeping and hosing/washing as needed. All parking stalls shall be clearly marked as private property.

Walkways/Stairs/Sidewalks: All areas of foot traffic are clean and free from hazards. Porch areas are not littered. Floor mats are in place and sidewalk in front of building is not obstructed. Sidewalks/stairs are regularly swept; wet mopped or hosed down if very soiled.

Drainage systems: Gutters/down spouts appear well attached and unclogged. Stairwell drains are free from accumulated leaves, mud and other blockages.

Exterior common areas: Decks, garage roofs and front porches are well maintained and free from litter. Barbecues are placed away from the building and not allowed to smolder under trees or leaves. Awnings are hosed down and checked for damage.

Security: The front and other exterior doors close and lock properly. Ground floor and other accessible windows are properly locked. The basement is secure. Garages and other outbuildings are securely locked. Equipment is stored securely. Building intercoms function properly. Tenant rosters are current and posted where appropriate.

Graffiti: All graffiti will be cleaned off or painted over within 48 hours of discovery.

Interior
Halls and stairs: All hallways and stairs are clean and neat. Items are not being stored in halls or at apartment entry doors. The carpet has been vacuumed and interior door mat is in place and clean. The building entry is attractive.

Windows/Glass: Glass in windows is not broken or cracked. All glass is clean, inside and out. Hallway windows lock securely and are closed.

Walls/Baseboards/Trim: All wall and trim surfaces are clean. Stair handrails are wiped down and scuff and finger marks are removed. Touch-up painting is performed as needed.

Laundry Room/Equipment: The laundry room is not used for storage. Equipment is working properly. Lint screens are cleaned and washers are wiped down inside and out. The laundry tub is checked for leaks and drips. Clothes are not lying around. The folding table is wiped down and the floor is swept/vacuumed/mopped.

Interior Lighting: All interior lights are working. The timer is working properly and there is sufficient light. Fixtures/ covers are securely fastened. Lighting covers are cleaned at least once per year.

Bulletin Board/Table: The bulletin board is neat and organized. Old notices are removed regularly and no junk mail is allowed to accumulate on floor or table.

Disposal of drugs and drug paraphernalia: The Seattle Police Dept. will be notified immediately if FM or AM ever find drugs or drug paraphernalia on the premises. Drugs will be turned over to the Police. Drug paraphernalia will be turned over to the Police or disposed of as per Solid Waste Utility guidelines. Current guidelines require needles and syringes to be placed in a rigid container with secure cap such as a plastic milk jug. One gallon containers are allowed per pickup. If drugs or drug paraphernalia is found in a specific unit, photos shall be taken to document prior to removal.

Seasonal Maintenance Items
Heating: Central building heat shall be turned off June 1 and turned back on September 30 as per City building code, unless unusually cold weather disallows this schedule.

Spring/Summer
Lawn and plantings: Lawn, flowers, shrubs, trees are watered and tended as needed. Lawn is mowed and trimmed regularly using a mulching mower.

Fall/Winter
Ice and Snow: All walkways are kept free from accumulated ice, snow and slush. Snow is removed within eight hours after accumulation stops. Rock salt is kept on hand for FM to use if walkways are extremely icy and a danger to occupants. Only use salt if absolutely necessary because it can harm the environment.

Systems: Be sure all water spigots/hose bibs are insulated and not dripping. Downspouts are not iced up and drains are functioning. Any above ground or exposed exterior plumbing is thoroughly insulated.

Section 2.0 Preventative Maintenance

2.1 Preventative Maintenance Defined

Preventive maintenance is the process of anticipating repair needs through regular attention to basic property operating systems designed to extend the useful life of those systems. The costs of preventive maintenance efforts will result in lower operating costs and rents to low income households over the long run.

2.2 Preventative Maintenance Plan

The DFM shall be responsible for producing a Preventive Maintenance Plan for each property. The Plan shall provide for systematic servicing of all building systems in a manner which extends the operating life of each system. The Plan shall also provide for a method to insure that specific actions anticipated in the Plan are accomplished on a regular schedule including the responsibilities of specific staff in carrying out the plan.

Roofs/Gutters/Downspouts:
MSP staff will check and clean every 6 months. Conditions will be noted on work orders and repairs completed as needed. FM's will check roofs monthly for any obvious repair needs and report these repairs to DFM immediately.

HVAC Systems:
All systems are serviced professionally or by MSP staff depending on the system.

Unit bath fans and vents, electric heaters, and refrigerator coils and motors:
FM cleans and vacuums annually in the spring and/or on unit turnover.

Boilers and Pumps:
MSP staff will oil circulating pumps at all appropriate buildings regularly in January, March, May, July, September, and November.

Unit and building inspections shall be conducted annually at all properties in order to catch unreported repairs and anticipate non-emergency maintenance items for future budgets.

Laundry Dryer Vents:
Vents shall be professionally cleaned annually in the spring.

Carpets:
Hall and common areas shall be cleaned professionally a minimum of once a year or as needed for high traffic areas. Unit carpets shall be cleaned professionally on unit turnover.

2.3 Preventative Maintenance Budget

DFM shall include specific expense line items in each property's annual operating budget to finance the costs of regular and programmed preventive maintenance activities contained in the plan. Budget amounts will be determined through review of historical levels, age of building, annual inspection results, building type and needs.

Section 3.0 Performance Standards

3.1 Performance Standards

All repairs made to occupied units shall be accomplished in a good and professional fashion. Materials and equipment shall be installed according to manufacturer's instructions and generally accepted methods.

3.2 Work Clean-Up

The following clean-up standard shall be maintained for work done in occupied units.

- 3.2(a) Remove debris from surfaces which have been affected by the work perfoFMed.
- 3.2(b) Use and remove temporary protection and labels not required to remain.
- 3.2(c) Clean finishes free of dust, stains, films, and other foreign substances.
- 3.2(d) Remove waste, foreign matter and debris. Disposal should not occur in occupants garbage containers. Hazardous materials must be disposed of in an appropriate manner.
- 3.2(e) Do not allow a hazard to exist at any time.
- 3.2(f) Restore occupied apartments to original condition at end of each work day. In the event that delays are necessary, the tenant and the FM must be advised in writing and informed when the work will be completed and when restoration will occur. A work order that is incomplete at the end of any work day shall be the first priority of work at the beginning of the next work day. A work order that cannot be completed before the end of the work day should generally be postponed to the next work day.
- 3.2(g) Any damage to tenant property must be reported to FM and DFM immediately.
- 3.3 Work in Common Areas
  If work in common areas presents any hazard, temporary barriers shall be used and alternate traffic and fire routes shall be posted. If work requires any interruption of basic utilities for more than thirty (30) minutes, the tenant(s) must be notified in advance. Twenty-four (24) hours advance posting shall constitute notice in buildings with only central water stops or central heat.

Section 4.0 Work Areas and Equipment

4.1 Storage and Shop Areas

- 4.1 (a) Security: All storage and shop areas shall be kept locked at all times. These are restricted access areas and no occupants shall be allowed unsupervised access at any time. Whenever possible, storage areas will be located in a different area than the shop. Storage areas are to remain locked at all times.
- 4.1(b) Maintenance: Storage and shop areas shall be kept clean at all times. Stored materials, tools, and equipment shall be properly stored and neatly organized. The MSP staff shall be responsible for maintenance of main shop and storage areas. Any authorized user of shop areas shall be responsible for keeping them clean and orderly at all times. The main shop is a principal work area for MSP staff.

All other building based storage and shop areas shall be maintained by the building's FM and AM. MSP staff may store supplies at specific buildings for convenience and efficiency after coordinating with the building's FM.

4.2 Agency Owned Equipment

- 4.2(a) Inventory: An up-to-date inventory of all equipment shall be created by FM for building based equipment and MSP staff for general agency equipment. The inventory list shall include the manufacturer, serial number, date purchased, supplier and location of the equipment. MSP staff shall maintain a record of location of general agency equipment by posting a sign-in/out sheet in the main shop.
- 4.2(b) Identification: All agency owned equipment shall be engraved with "*agency name and unique identifier numbers"* for purposes of identification and recovery in the event of theft.
- 4.2(c) Loaning/Borrowing: No agency equipment shall be loaned or borrowed for personal use. Only MSP and/or building staff insured by agency through appropriate Department of Labor and Industry rates shall use equipment.
- 4.2(d) Vehicles: Agency owned vehicles shall be used for agency business only. Only agency employees insured as authorized operators shall use vehicles. The DFM will ensure that all vehicles are maintained properly.

Section 5.0 Outside Labor and Contracts

5.1 Standard Contractors

The agency shall make an effort to establish relationships with standard service providers familiar with existing conditions and systems at all properties. The highest priority for standard service providers shall be licensed and bonded specialty contractors available on a twenty-four (24) hour basis to service basic systems. Current vendor lists shall be maintained by DFM.

5.2 License and Bond Certification

Contractors used by the agency shall be licensed and bonded in Washington State.

5.4 Non-Licensed Outside Contractors

At the discretion of the Executive Director, the agency may use non-licensed outside contractors to provide services to its properties. Written contracts shall be established as necessary with outside contractors. Agency shall report all sums paid to unlicensed individuals as required by the Internal Revenue Service.

Section 6.0 Cleaning, Repair and Preparation of Units

6.1 Process for Vacating Occupants

The following steps and actors are involved in the process of vacating an occupied apartment and preparing it for re-occupancy by a new tenant:

- 6.1(a) Notice to Vacate: FM and Tenant
  A departing tenant shall issue a Notice of Intent to Vacate to the FM at least twenty (20) days prior to the end of the rental period. The FM shall schedule a unit inspection within two days of receipt of the Notice of Intent to Vacate.
- 6.1 (b) Unit Inspection 1: FM and Tenant
  The FM shall conduct a complete inspection of the unit to be vacated. The purpose of this inspection is to advise the departing tenant of any apparent damages to the unit, based on the Move-In Condition Report and to alert the MSP staff of probable work orders involving the unit. The FM shall indicate in pencil on the Inspection Report any condition problems apparent in the unit.
- 6.1(c) Work Orders: FM
  The FM shall complete work orders for repairs to the unit and begin processing them per these policies. Repairs to the unit may begin immediately, prior to vacation by the departing tenant. Repairs may also be done after tenant has vacated unit. Repairs to be billed to the departing tenant's damage deposit shall be handled through separate work orders for purposes of documenting costs. FM will inform departing tenant that tenant is responsible for all repair costs caused by them.

6.2 Process for Unit At Turn-Over

- 6.2(a) Unit Inspection 2: FM and Tenant:
  The FM shall conduct a second unit inspection. This shall be the final inspection for the vacating tenant. Any changes to the inspection report shall be indicated. The purpose of this inspection is to establish any amounts to be withheld from the security damage deposit. Tenant must receive notice and/or refund within fourteen (14) days of turning in their keys and/or vacating unit.
- 6.2(b) Work orders: FM/MSP:
  MSP staff shall complete remaining work orders, as scheduled by the DFM. All unit entry locks and mailboxes shall be re-keyed on unit turnovers by MSP.
- 6.2(c) Cleaning/Painting FM/AM:
  The FM and AM shall be responsible for all cleaning and painting of any vacant unit, as directed by the DFM. DFM will maintain the list of approved cleaning products and cleaning guide to be used by on site staff.

Unit conditions standards are as follows:

- Confirm that all fixtures, hardware and equipment are in good working order, recently cleaned and tested, and ready for proper use. Refrigerators cleaned inside and out, coils and motor vacuumed if accessible. Ranges cleaned inside and out.
- Unit door locks and mail boxes are re-keyed by MSP staff.
- Wall and ceiling surfaces are clean and free from grease, marks, holes, and other damage. If the surfaces have not received fresh paint in the last three years, or if harsh use by departing tenant, new paint shall be applied. All wall surfaces will be painted with a semi-gloss paint-unless otherwise specified by DFM.
- Woodwork, trim, door jambs, and window sills are recently cleaned and free from accumulated dust, grit, greases and scuff marks.
- All doors and windows are in good working order, fasten/lock securely, and properly in place; interior glass is clean; exterior glass is clean if accessible.
- Window coverings are recently cleaned, in place, and in good working order.
- Floor coverings are recently cleaned, VCT/sheet vinyl is waxed with 2-3 coats if appropriate, vacuumed, shampooed, and/or mopped (as applicable), free from stains and damage.
- Light fixtures are clean, with working bulbs, and properly fastened.
- Mechanical exhaust equipment is recently cleaned, and filters (if applicable) changed/cleaned.
- Smoke detectors are in good working order, including a fresh battery (if applicable).
- Heating equipment is clean, free from hazards, and in good working order.
- Shelves, cupboards, and countertops are all clean and free from damage.
- Bathroom tub, toilet, sink, floor (all washable surfaces) are cleaned and sanitized. FM will inspect the unit prior to occupancy to confirm that housing quality standards are met.

Section 7.0 Reporting of Personal Injury

All injuries must be reported to DFM immediately. If injury requires a doctor's attention, emergency care or hospitalization, obtain necessary Labor and Industries physical injury report forms from care provider. Provide copies of the completed form to DFM.

Section 8.0 Hazardous Materials

Staff will make all reasonable efforts to ensure that no environmentally hazardous materials exist at any time on property. Staff will follow all Federal, State and local laws regarding hazardous materials.

8.1 Asbestos Management Plan

Some buildings may contain asbestos in the walls, ceilings, insulation, flooring, boilers, pipe wrap and/or other materials. When staff doesn't know the extent or location of asbestos, the following protocol will be initiated:

Protocol During Development:

Development staff will immediately infoFM the DFM and Maintenance Supervisor (MS) if asbestos is discovered as part of the acquisition and/or rehabilitation phase of development. Typically this will be documented in the Environmental Assessment prepared as part of the due diligence. A written asbestos report or AHERA report (if available) will be given to DFM and MS as soon as it is available. AHERA reports are done for construction activities that involve potentially hazardous materials. Any abatement process that occurs during the development phase of acquisition/rehab will be managed and documented by Development staff. All hazardous materials reports will be maintained in maintenance central office files.

Protocol During Maintenance:

The following will occur if asbestos is present and/or discovered during noFMal maintenance operations. The Maintenance Supervisor will be trained and State-certified to identify and collect samples in areas where asbestos may commonly be found. If any repairs are needed in an area that may have asbestos, the MS will test for asbestos first with an approved hazardous materials· testing center to ensure the repair area has no asbestos present before any work is initiated. If the MS is not State-certified to identify and collect samples, then MS will engage a certified outside contractor. Whenever asbestos is known or confiFMed, the MS will notify the DFM. The DFM will decide l)whether abatement is necessary; 2)whether to contract with an outside licensed abatement contractor; or 3)whether to conduct abatement with in-house staff. DFM will authorize the MS to proceed with one of the three choices above as appropriate and according to Federal, State and local law. The MS is responsible to keep clear and complete files on all work in asbestos areas. The MS will document any abatement process (in-house or outside contractor) and these files will be kept in maintenance central office files. All asbestos areas that are not abated will be clearly labeled and identified. Whenever there is repair work in areas where asbestos is known to be present, MS will notify in writing to all outside contractors and/or vendors of any known asbestos. Proper handling of asbestos by outside contractors and/or vendors will be required on all contracted repair work.

Sample

Repair Request

Name_____ Date: _____

Unit #_____ Pet in Unit? Yes No

Describe work needed:

_____

_____

_____

_____

Please clear all items from work area. By signing below you authorize entry to your unit to complete all necessary repairs.

_____ _____

Signature of Tenant Date

II. Introduction

Open access to University campus are an essential ingredient of academic life, but is not without risks. Some security measures are therefore necessary to maintain a safe and secure environment for staff, students and visitors.

If left insecure or unattended, theft of personal possessions such as wallets, purses, handbags, laptops, mobile phones etc. is a possibility. Incidents of burglary or theft of office equipment such as laptops, flat screen monitors, laser printers, Digital Projectors and Digital Cameras etc. occur occasionally. There are also instances of criminal damage through vandalism, graffiti etc. The perception of the campus communities about personal safety and security is a general concern.

The University should therefore develop and apply security controls, and procedures, to be widely published. Security is not intended to be a hindrance to academic activity but to be an essential ingredient for the efficient operation of the University.

Responsibility for personal property remains with the owner of the property. The University takes no responsibility for such property left on the premises, including motor vehicles and bicycles, although the Security team and related personnel will aim to provide a security presence across the campuses at key times.

This Security Policy therefore seeks to formalize a cohesive and integrated approach to security throughout the University.

III. Policy Statement

The University will endeavor to ensure, as far as is reasonably practical, the personal safety and security of all students, staff, visitors and contributors at all University campuses and University controlled buildings.

Responsibilities for security and personal safety rests with all persons who study, work, or who visit the University campus. All students, staff, visitors and contractors should assist the Security Team and related personnel to ensure the success of the Policy.

Unless otherwise specified, this policy covers Alfaisal University Campus and all associated buildings.

IV. Responsibilities

Responsibility for security rests with all students, staff and visitors to the University. In particular, everyone should report all activity, suspected or real, of a criminal nature or any suspicious activity immediately to the security staff. Within this overall responsibility some particular elements are defined as follows:

Senior Management Team: The senior management of the University (the President, VP's and the Directors) should ensure that support and resources are available to staff for the implementation of the Security Policy. Necessary measures to improve security in essential areas should receive priority consideration. Where appropriate, specific training to achieve acceptable standards of operation should be supported and properly resourced.

Facilities Director/ Senior Facility Manager: overall development and planning of security strategy, policies and procedures and overseeing the operation of the Security Section.

Safety and Security Manager: development and implementation of security strategy, policies and procedures and the monitoring of their effectiveness and efficiency. Investigation of serious crime, breaches in security and student disciplinary matters; provision of expert and impartial up-to-date advice; liaison with police, emergency services and local authorities; management of the AU Security Team and CCTV systems; implementation of University Car Parking Policy.

Security Coordinator: management of Security Guards, delivery of an efficient and effective Guarding service to the University; management and training of security staff in security issues; day-to-day management and implementation of the security policy and procedures; monitoring of these policies and procedures to ensure their continued effectiveness, liaison with police, and local authorities; implementation and management of University **Car Parking Policy**.

Security Guard: day-to-day management and implementation of the security policy and procedures, security duties as defined in **Operational Instructions**, including patrolling of external areas to deter trespass, daily unlocking/locking procedures and access control for out of core hour events, caretaker duties.

Deans and Heads of Support Departments: have a key role in promoting security within their area. The actual responsibilities will vary according to the location and the nature of the activity taking place. A number of specific responsibilities can be identified. (It is recognized that Deans and Heads of Department may wish to delegate responsibility for the routine involved in these tasks to a nominated individual in their Department but the overall responsibility for security matters will remain with the Dean and Head of Department.):

- Ensuring their staff have access to and are familiar with the Security Policy, paying particular attention to those issues which are directly relevant to the activity of their department.
- Ensuring that all members of staff and students in their department understand and exercise their security responsibilities, including the displaying of University Identity cards, and have due regard to University property (see Sections below), in particular the security of IT equipment.
- Liaise with the Security Team on any security matter.
- Controlling access to their departmental areas by approving the issue of keys and by authorizing staff to have 'out of hour's accesses only as necessary.
- Ensuring that their departmental staffs return to the Facility and HR Departments their University card and any issued keys on their last day of work.
- Notifying the Security team of any security risk.

Staff: All staff must ensure they are familiar with and follow the procedures in the University Security Policy, paying particular attention to those issues which are relevant to their activities. They must also co-operate with requests from the Security Team, especially in emergency or evacuation situations and in relation to security procedures. Staff are required at all times when on University property to carry their University cards.

Students: have a general responsibility to look after University facilities properly and to give due consideration to security issues. They must follow security procedures designed to protect University property, in particular regulations governing access to computer rooms or areas with other public use equipment.
Students must co-operate with requests from the Security Team, especially in emergency or evacuation situations and in relation to security procedures. Students are required to carry their University cards with them at all times and when on University property.

Advice and information on security issues for students is provided by the University in **Students Handbook and on the University website.**

Visitors: (including conference delegates and external event attendees) have a general responsibility to look after the University facilities whilst on campus and to give due consideration to security issues. In particular they must

follow security procedures designed to protect University property and where issued, wear their visitors badge at all times. Visitors must follow instructions from the Security Team or from their host department, particularly in emergency situations.

V. Section 1: Crime Prevention

A. **Security Awareness**

Proactive crime prevention and security awareness will help to ensure a safe, secure environment, enabling work and study to continue with the minimum amount of disruption. Staff and students should make every effort to counter the threat of crime.

1. **Procedure: Crime Prevention and Security Awareness**
    - All suspicious activity should be immediately reported as set out below.
    - Personal valuables should be locked away or placed out of sight or kept on the person, and personal property should never be left unattended.
    - Curtains or blinds in all rooms should be closed at dusk and lights (except security lighting) should be turned off when leaving.
    - Laptops and other portable IT/AV equipment should be locked out of sight when not in use, particularly overnight, in open areas.
    - All incidents of crime on University premises, real and suspected, must be reported to the Security Team.

B. **Incident Reporting**

It is the responsibility of all staff and students of the University to report all activity, suspected or real, of a criminal nature. Incident reporting is crucial to the identification of patterns of criminal activity. It permits investigation and recommendations to be made to prevent a recurrence. Comprehensive reporting of incidents provides an accurate picture of the level of crime throughout the University and thus ensures that adequate resources are provided to combat that crime. Success in the University's fight against crime is greatly enhanced by fast, efficient and detailed reporting.

1. **Procedure: Reporting of Security Incidents**
    - All incidents of a security nature should be reported in the first instance to Security Control on ext. **7857** (24 hours) or on ext. **7853/7856/7861** during office hours.
    - All available information should be included - time, location, persons involved, items missing etc.
    - An Incident Report FoFM (available on the Facility FoFMs on the public folder) should be completed as soon as possible after the event by the person reporting the incident and sent to the Facilities Director/ Senior Facility Manager.
    - Criminal Offenses committed by Students should be reported to the Police by the Safety and Security Manager.
    - All Police involvement on any campus is to be notified to the Facilities Director to enable effective University management of any subsequent actions on University premises.
    - This reporting procedure should be followed 24 hours per day.

C. **Crime Investigation**

All crimes that occur on University premises will be investigated appropriately to prevent re-occurrence and aid crime prevention. The Safety and Security Manager or other members of the Security Team as delegated will carry out internal investigations of security related incidents, producing written reports for circulation where necessary and providing follow up crime prevention advice.

VI. Section 2: Access Control

A. **University Cards**

All staff and students are issued with Alfaisal University card which is used as an identity card, a student registration card, and a Library membership card. Students are required to carry their card with them at all times and to show their card to Security guards or employees on request. Staff are required under the terms of their employment contracts to carry their card at all times whilst on University premises. Loss of one of these cards should be reported, as soon as possible to the Facility Dep.

Access Control Cards – Access Control Systems operate in some areas. Card controlled barriers/doors are an effective method of preventing unauthorised access and the security strategy will move towards expansion of access control systems throughout the University. Access cards should be regarded for security purposes the same as a key. Cardholders must safeguard their card and report any loss to the Security team as soon as possible, so the card access can be cancelled

Visitors and ad-hoc Contractors will be issued with a 'visitor's pass' at point of entry and should wear these passes throughout their visit to the University.

Contractors who will be on site for more than 2 weeks will generally be issued with a University 'Contractor' card to allow them access to the building they are working in. Arrangements for these cards are to be agreed by the Contract Project Manager and Facilities Director/ Senior Facility Manager. Contractor identity cards must be displayed at all times whilst on University premises.

All staff and students are required to show their University card to security staff or facilities Staff, on request. Failure to do so may result in an immediate request to leave University premises, if a person's identity cannot be confirmed.

Deans of Faculty and Heads of Support Departments may liaise with the Security Team to arrange for random checks of University cards and Student cards.

B. **University Core Hours**
These are currently:
Students:
06:00 – 22:00 Saturday to Thursday (Semester Time)
Closed – Friday and Official Holiday

C. **Weekend Functions/Meetings/Events**
The use of University premises at weekends or out of hours is restricted. Departments or individual staff wishing to teach, run tutorials or organize an event should complete an **Out of Hours Form.**

D. **Control of Locks, Keys and Access Control Cards**
The Facilities Department control the issue and use of all locks, keys and access control cards. The University operates a suited key system which allows various levels of access (an 'operator key' for one room, to a 'master key' for a building). No other make of lock or key should be installed on University premises without the authority of the Facilities Department. Operator keys or sub master keys may be issued to departments for local use and issue to individual staff. Departmental administrators should keep a record of all keys issued locally and ensure that staffs return keys when they move offices or leave the University's employment. It is the responsibility of all individuals who are issued keys or cards to ensure their safe keeping at all times and report any loss immediately to security staff.

1. **Request for Locks & Keys**
    - **Staff**
      All applications for new keys should be made via a request to the Facilities Department
    - **Helpdesk** by filling the Key Request FoFM**.(KRF)**
    - **Contractors**
      Contractors' access to University buildings will be strictly controlled by the Security Team according to agreed access control procedures.
    - **General**
        - All losses of keys must be reported immediately to the Security Team.
        - Persons leaving the University or transferring to another Department are to return their keys direct to the Facilities Dep. They should not pass keys directly to their replacement.
        - Replacement keys will only be issued after an investigation of the loss. The cost of replacement will be charged to individual concerned.
        - Any loss of master or sub-master keys will be the subject of an inquiry, with all resultant costs for replacement of locks and keys borne by the Department or individual concerned. If loss of

master or sub master keys is suspected to have arisen through negligent action by a member of staff, then an investigation under the appropriate Disciplinary Procedure should be undertaken. Further disciplinary action may be taken if appropriate, following the completion of the investigation.

VII. Section 3: Asset Protection: Equipment/Documentation

A. **Security of Equipment**

The safekeeping of all property will help to ensure that the maximum amount of equipment is available for use at all times. Students and staff are to make all possible effort to ensure that all equipment is protected from the possibility of theft or damage.

All computer/AV equipment should be secured dependent on its use. Equipment used in departments and colleges must be managed to reduce the risk of the equipment being damaged, stolen or accessed by unauthorised persons.

All valuable portable IT and AV equipment such as laptops & PDA's, must be locked away out of sight when not in use, especially overnight. Suspected thefts of equipment should be reported promptly to both Security and to the Finance Director. Heads of Departments are responsible for maintaining inventories for all plant, equipment and furniture in their departments.

VIII. Section 4: Asset Protection

A. **Security In The Office**

It is the responsibility of all staff to be aware of, and familiar with, all procedures that ensure a safe and secure environment for personnel, equipment and documentation in their office areas.

1. **General Awareness:**
    - University ID cards should be carried by students and staff at all times on University premises.
    - Students and staff should be aware of the ext. **7857** (24 hours) or on ext. **7853/7856/7861** during office hours for gaining assistance & reporting incidents.
    - Staff working 'out of hours' should ensure they follow 'out of hours' procedures and contact Security if they need assistance.
2. **At the end of the working day, staff should ensure that:**
    - Valuables and confidential documents (laptops, exam scripts, research data, personnel files etc.) are locked away with keys secured in key cabinets or taken home.
    - A 'clear desk policy' is maintained where possible to ensure confidential documentation is locked out of sight.
    - All non-essential electrical appliances are switched off/unplugged.
    - Doors and (windows) are closed and locked as appropriate.
    - Blinds are closed with any items on windowsills, which hinder closure, removed and lights turned off.
    - PC's are switched off or password protected when not in use to prevent unauthorized access to information.

B. **Personal Security**

Whilst it is the responsibility of the Security team to provide a safe and secure environment, it is the responsibility of all students and staff on University premises to take all reasonable measures to ensure their own personal security.

Moving between University buildings - students and staff should make themselves aware of their surroundings and of other people when walking between buildings. Try to avoid poorly lit or isolated areas and where possible, walk with other members of staff or students. Report any deficiencies in lighting on University buildings through the Facilities **Helpdesk** so that remedial action can be taken where appropriate.

Suspicious behaviour - If suspicious activity is noticed, notify or get a colleague to notify the Security on **7857**. Challenge if you feel able but do not get yourself into a vulnerable or confrontational situation. More important is to make a mental or written note of a description, direction of travel, what suspicious acts you

saw and any other information which may help Security identify and locate the individual(s). Security staff will direct security response to the area as a matter of urgency. Each situation of this type will be different and it is at the discretion of the individuals concerned as to what action they wish to take, but at no time should they put themselves at risk. Reporting suspicious activity is extremely important to Security Staff in helping to prevent and detect crime against the University.

Threatening or abusive behaviour: If staff or students are faced with threatening or abusive behaviour, stay calm, avoid raising your voice and aggressive body language such as finger pointing/wagging. Call for assistance from colleagues and/or Security Staff.

C. **Drugs and Illegal Substances**
All suspicions of the handling or using of controlled or illegal substances should be reported to the Security, in the first instance, so that appropriate investigation and consultation with University authorities may take place.

D. **Property– Lost and Found**
   1. **Found Property**
   Unidentified found property should be handed in to staff at the **Security reception in the CoS Building.** When property is handed in, the date/time, finder's name, department and contact details will be recorded. If the property is not returned to the owner or is left unclaimed for a minimum of one month, the property will be passed to charity or disposed of.
   2. **Claiming Property**
   When a loser claims property, full details will be required. i.e. a full description of the item and for certain items, proof of ownership may be requested. When staff is satisfied of the owner's claim, the property will be handed over on signature. Where any doubt to ownership exists, the Head of Security will be asked to arbitrate.
   3. **Property Left in Lecture Theatres or Classrooms**
   No items of property or teaching material should be left unattended in teaching rooms. Teaching rooms are cleaned daily and any item of property will be treated as found property and dealt with as above. Where the value is questionable (leftover hand-outs or teaching material) and/or the condition of the item is poor, normal practice is to treat this as 'waste' and dispose of it.
   4. **Students' Personal Property**
   The University does not accept liability for loss and/or damage to Students personal property unless negligence of the University or its employees can be established. Students are strongly advised to make their own arrangements for insuring their personal property.

University Security Policy -FD004

Policy Code
FD004

I. Introduction

Open access to University campus are an essential ingredient of academic life, but is not without risks. Some security measures are therefore necessary to maintain a safe and secure environment for staff, students and visitors.

If left insecure or unattended, theft of personal possessions such as wallets, purses, handbags, laptops, mobile phones etc. is a possibility. Incidents of burglary or theft of office equipment such as laptops, flat screen monitors, laser printers, Digital Projectors and Digital Cameras etc. occur occasionally. There are also instances of criminal damage through vandalism, graffiti etc. The perception of the campus communities about personal safety and security is a general concern.

The University should therefore develop and apply security controls, and procedures, to be widely published. Security is not intended to be a hindrance to academic activity but to be an essential ingredient for the efficient operation of the University.

Responsibility for personal property remains with the owner of the property. The University takes no responsibility for such property left on the premises, including motor vehicles and bicycles, although the Security team and related personnel will aim to provide a security presence across the campuses at key times.

This Security Policy therefore seeks to formalise a cohesive and integrated approach to security throughout the University.

II. Policy Statement

The University will endeavour to ensure, as far as is reasonably practical, the personal safety and security of all students, staff, visitors and contributors at all University campuses and University controlled buildings.

Responsibilities for security and personal safety rests with all persons who study, work, or who visit the University campus. All students, staff, visitors and contractors should assist the Security Team and related personnel to ensure the success of the Policy.

Unless otherwise specified, this policy covers Alfaisal University Campus and all associated buildings.

III. Responsibilities

Responsibility for security rests with all students, staff and visitors to the University. In particular, everyone should report all activity, suspected or real, of a criminal nature or any suspicious activity immediately to the security staff. Within this overall responsibility some particular elements are defined as follows:

Senior Management Team: The senior management of the University (the President, VP's and the Directors) should ensure that support and resources are available to staff for the implementation of the Security Policy. Necessary measures to improve security in essential areas should receive priority consideration. Where appropriate, specific training to achieve acceptable standards of operation should be supported and properly resourced.

Facilities Director/ Senior Facility Manager: overall development and planning of security strategy, policies and procedures and overseeing the operation of the Security Section.

Safety and Security Manager: development and implementation of security strategy, policies and procedures and the monitoring of their effectiveness and efficiency. Investigation of serious crime, breaches in security and student disciplinary matters; provision of expert and impartial up- to-date advice; liaison with police, emergency services and local authorities; management of the AU Security Team and CCTV systems; implementation of University Car Parking Policy.

Security Coordinator: management of Security Guards, delivery of an efficient and effective Guarding service to the University; management and training of security staff in security issues; day-to-day management and implementation of the security policy and procedures; monitoring of these policies and procedures to ensure their continued effectiveness, liaison with police, and local authorities; implementation and management of University **Car Parking Policy**.

Security Guard: day-to-day management and implementation of the security policy and procedures, security duties as defined in **Operational Instructions**, including patrolling of external areas to deter trespass, daily unlocking/locking procedures and access control for out of core hour events, caretaker duties.

Deans and Heads of Support Departments: have a key role in promoting security within their area. The actual responsibilities will vary according to the location and the nature of the activity taking place. A number of specific responsibilities can be identified. (It is recognized that Deans and Heads of Department may wish to delegate responsibility for the routine involved in these tasks to a nominated individual in their Department but the overall responsibility for security matters will remain with the Dean and Head of Department.):

- Ensuring their staff have access to and are familiar with the Security Policy, paying particular attention to those issues which are directly relevant to the activity of their department.
- Ensuring that all members of staff and students in their department understand and exercise their security responsibilities, including the displaying of University Identity cards, and have due regard to University property (see Sections below), in particular the security of IT equipment.
- Liaise with the Security Team on any security matter.
- Controlling access to their departmental areas by approving the issue of keys and by authorising staff to have 'out of hour's accesses only as necessary.
- Ensuring that their departmental staffs return to the Facility and HR Departments their University card and any issued keys on their last day of work.
- Notifying the Security team of any security risk.

Staff: All staff must ensure they are familiar with and follow the procedures in the University Security Policy, paying particular attention to those issues which are relevant to their activities. They must also co-operate with requests from the Security Team, especially in emergency or evacuation situations and in relation to security procedures. Staff are required at all times when on University property to carry their University cards.

Students: have a general responsibility to look after University facilities properly and to give due consideration to security issues. They must follow security procedures designed to protect University property, in particular regulations governing access to computer rooms or areas with other public use equipment. Students must co-operate with requests from the Security Team, especially in emergency or evacuation situations and in relation to security procedures. Students are required to carry their University cards with them at all times and when on University property.

Advice and information on security issues for students is provided by the University in **Students Handbook and on the University website.**

Visitors: (including conference delegates and external event attendees) have a general responsibility to look after the University facilities whilst on campus and to give due consideration to security issues. In particular they must follow security procedures designed to protect University property and where issued, wear their visitors badge at all times. Visitors must follow instructions from the Security Team or from their host department, particularly in emergency situations.

IV. Section 1: Crime Prevention

A. **Security Awareness**

Proactive crime prevention and security awareness will help to ensure a safe, secure environment, enabling work and study to continue with the minimum amount of disruption. Staff and students should make every effort to counter the threat of crime.

1. **Procedure: Crime Prevention and Security Awareness**
    - All suspicious activity should be immediately reported as set out below.
    - Personal valuables should be locked away or placed out of sight or kept on the person, and personal property should never be left unattended.
    - Curtains or blinds in all rooms should be closed at dusk and lights (except security lighting) should be turned off when leaving.
    - Laptops and other portable IT/AV equipment should be locked out of sight when not in use, particularly overnight, in open areas.
    - All incidents of crime on University premises, real and suspected, must be reported to the Security Team.

B. **Incident Reporting**

It is the responsibility of all staff and students of the University to report all activity, suspected or real, of a criminal nature. Incident reporting is crucial to the identification of patterns of criminal activity. It permits investigation and recommendations to be made to prevent a recurrence. Comprehensive reporting of

incidents provides an accurate picture of the level of crime throughout the University and thus ensures that adequate resources are provided to combat that crime. Success in the University's fight against crime is greatly enhanced by fast, efficient and detailed reporting.

1. **Procedure: Reporting of Security Incidents**
    - All incidents of a security nature should be reported in the first instance to Security Control on ext. **7857** (24 hours) or on ext. **7853/7856/7861** during office hours.
    - All available information should be included - time, location, persons involved, items missing etc.
    - An Incident Report Form (available on the Facility Forms on the public folder) should be completed as soon as possible after the event by the person reporting the incident and sent to the Facilities Director/ Senior Facility Manager.
    - Criminal Offences committed by Students should be reported to the Police by the Safety and Security Manager.
    - All Police involvement on any campus is to be notified to the Facilities Director to enable effective University management of any subsequent actions on University premises.
    - This reporting procedure should be followed 24 hours per day.

C. **Crime Investigation**

All crimes that occur on University premises will be investigated appropriately to prevent re- occurrence and aid crime prevention. The Safety and Security Manager or other members of the Security Team as delegated will carry out internal investigations of security related incidents, producing written reports for circulation where necessary and providing follow up crime prevention advice.

V. Section 2: Access Control

A. **University Cards**

All staff and students are issued with Alfaisal University card which is used as an identity card, a student registration card, and a Library membership card. Students are required to carry their card with them at all times and to show their card to Security guards or employees on request. Staff are required under the terms of their employment contracts to carry their card at all times whilst on University premises. Loss of one of these cards should be reported, as soon as possible to the Facility Dep.

Access Control Cards – Access Control Systems operate in some areas. Card controlled barriers/doors are an effective method of preventing unauthorised access and the security strategy will move towards expansion of access control systems throughout the University. Access cards should be regarded for security purposes the same as a key. Cardholders must safeguard their card and report any loss to the Security team as soon as possible, so the card access can be cancelled

Visitors and ad-hoc Contractors will be issued with a 'visitor's pass' at point of entry and should wear these passes throughout their visit to the University.

Contractors who will be on site for more than 2 weeks will generally be issued with a University 'Contractor' card to allow them access to the building they are working in. Arrangements for these cards are to be agreed by the Contract Project Manager and Facilities Director/ Senior Facility Manager. Contractor identity cards must be displayed at all times whilst on University premises.

All staff and students are required to show their University card to security staff or facilities Staff, on request. Failure to do so may result in an immediate request to leave University premises, if a person's identity cannot be confirmed.

Deans of Faculty and Heads of Support Departments may liaise with the Security Team to arrange for random checks of University cards and Student cards.

B. **University Core Hours**

These are currently:

Students:
06:00 – 22:00 Saturday to Thursday (Semester Time)
Closed – Friday and Official Holiday

C. **Weekend Function/Meetings/Events**
The use of University premises at weekends or out of hours is restricted. Departments or individual staff wishing to teach, run tutorials or organise an event should complete an **Out of Hours Form.**

D. **Control of Locks, Keys, and Access Control Cards**
The Facilities Department control the issue and use of all locks, keys and access control cards. The University operates a suited key system which allows various levels of access (an 'operator key' for one room, to a 'master key' for a building).
No other make of lock or key should be installed on University premises without the authority of the Facilities Department. Operator keys or sub master keys may be issued to departments for local use and issue to individual staff.
Departmental administrators should keep a record of all keys issued locally and ensure that staffs return keys when they move offices or leave the University's employment. It is the responsibility of all individuals who are issued keys or cards to ensure their safe keeping at all times and report any loss immediately to security staff.

1. **Request for Locks & Keys**
    - **Staff**
      All applications for new keys should be made via a request to the Facilities Department **Helpdesk** by filling the Key Request Form **(KRF).**
    - **Contractors**
      Contractors' access to University buildings will be strictly controlled by the Security Team according to agreed access control procedures.
    - **General**
      All losses of keys must be reported immediately to the Security Team.
        - Persons leaving the University or transferring to another Department are to return their keys direct to the Facilities Dep. They should not pass keys directly to their replacement.
        - Replacement keys will only be issued after an investigation of the loss. The cost of replacement will be charged to individual concerned.
        - Any loss of master or sub-master keys will be the subject of an inquiry, with all resultant costs for replacement of locks and keys borne by the Department or individual concerned. If loss of master or sub master keys is suspected to have arisen through negligent action by a member of staff, then an investigation under the appropriate Disciplinary Procedure should be undertaken. Further disciplinary action may be taken if appropriate, following the completion of the investigation.

VI. Section 3: Asset Protection: Equipment/Documentation

A. **Security of Equipment**
The safekeeping of all property will help to ensure that the maximum amount of equipment is available for use at all times. Students and staff are to make all possible effort to ensure that all equipment is protected from the possibility of theft or damage.

All computer/AV equipment should be secured dependent on its use. Equipment used in departments and colleges must be managed to reduce the risk of the equipment being damaged, stolen or accessed by unauthorised persons.

All valuable portable IT and AV equipment such as laptops & PDA's, must be locked away out of sight when not in use, especially overnight. Suspected thefts of equipment should be reported promptly to both Security and to the Finance Director. Heads of Departments are responsible for maintaining inventories for all plant, equipment and furniture in their departments.

VII. Section 4: Asset Protection

A. **Security in the Office**

It is the responsibility of all staff to be aware of, and familiar with, all procedures that ensure a safe and secure environment for personnel, equipment and documentation in their office areas.

1. **General Awareness:**
   - University ID cards should be carried by students and staff at all times on University premises.
   - Students and staff should be aware of the ext. **7857** (24 hours) or on ext. **7853/7856/7861** during office hours for gaining assistance & reporting incidents.
   - Staff working 'out of hours' should ensure they follow 'out of hours' procedures and contact Security if they need assistance.
2. **At the end of the working day, staff should ensure that:**
   - Valuables and confidential documents (laptops, exam scripts, research data, personnel files etc.) are locked away with keys secured in key cabinets or taken home.
   - A 'clear desk policy' is maintained where possible to ensure confidential documentation is locked out of sight.
   - All non-essential electrical appliances are switched off/unplugged.
   - Doors and (windows) are closed and locked as appropriate.
   - Blinds are closed with any items on windowsills, which hinder closure, removed and lights turned off.
   - PC's are switched off or password protected when not in use to prevent unauthorised access to information.

B. **Personal Security**

Whilst it is the responsibility of the Security team to provide a safe and secure environment, it is the responsibility of all students and staff on University premises to take all reasonable measures to ensure their own personal security.

Moving between University buildings - students and staff should make themselves aware of their surroundings and of other people when walking between buildings. Try to avoid poorly lit or isolated areas and where possible, walk with other members of staff or students. Report any deficiencies in lighting on University buildings through the Facilities **Helpdesk** so that remedial action can be taken where appropriate.

Suspicious behaviour - If suspicious activity is noticed, notify or get a colleague to notify the Security on **7857**. Challenge if you feel able but do not get yourself into a vulnerable or confrontational situation. More important is to make a mental or written note of a description, direction of travel, what suspicious acts you saw and any other information which may help Security identify and locate the individual(s). Security staff will direct security response to the area as a matter of urgency. Each situation of this type will be different and it is at the discretion of the individuals concerned as to what action they wish to take, but at no time should they put themselves at risk. Reporting suspicious activity is extremely important to Security Staff in helping to prevent and detect crime against the University.

Threatening or abusive behaviour: If staff or students are faced with threatening or abusive behaviour, stay calm, avoid raising your voice and aggressive body language such as finger pointing/wagging. Call for assistance from colleagues and/or Security Staff.

C. **Drugs and Illegal Substances**

All suspicions of the handling or using of controlled or illegal substances should be reported to the Security, in the first instance, so that appropriate investigation and consultation with University authorities may take place.

D. **Property - Lost and Found**

1. **Found Property**

   Unidentified found property should be handed in to staff at the **Security reception in the CoS**

Building. When property is handed in, the date/time, finder's name, department and contact details will be recorded. If the property is not returned to the owner or is left unclaimed for a minimum of one month, the property will be passed to charity or disposed of.

2. **Claiming Property**
   When a loser claims property, full details will be required. i.e. a full description of the item and for certain items, proof of ownership may be requested. When staff is satisfied of the owner's claim, the property will be handed over on signature. Where any doubt to ownership exists, the Head of Security will be asked to arbitrate.
3. **Property Left in Lecture Theatres or Classrooms**
   No items of property or teaching material should be left unattended in teaching rooms. Teaching rooms are cleaned daily and any item of property will be treated as found property and dealt with as above. Where the value is questionable (leftover hand-outs or teaching material) and/or the condition of the item is poor, normal practice is to treat this as 'waste' and dispose of it.
4. **Students' Personal Property**
   The University does not accept liability for loss and/or damage to Students personal property unless negligence of the University or its employees can be established. Students are strongly advised to make their own arrangements for insuring their personal property.

Accommodation Policy -FD005

Policy Code
FD005
Approval Date
Tue, 01/12/2016 - 12:00

This Policy will be effective from 1st of January, 2016 for all the new arrivals/faculties which is as follows:

1. **Complimentary stay of nine (9) nights in 3-star hotel as follows:**

	Numbers of persons	Room type
1	Single Person	Single Room
2	Two persons (Husband + Wife)	Single room
3	Two persons with a kid below 5 years of age	Single room with extra bed
4	Two persons with 2 kids below 5 years of age	Single room with 2 extra beds
5	Two persons with kid above 5 years of age or more than 2 kids	One Suite with one hall & one room
	Note: Breakfast, Wi-Fi included, Gym & Swimming pool facility available (Men Only)	

2. **Services during complimentary stay:**
   a. Airport pickup by AU Cars
   b. To & from transportation to AU
   c. Transportation for Iqama Medical Test, driving license and opening up of bank account
   d. Searching for permanent housing as follows:
      i. Facility will provide 3 options for selection
      ii. New faculty need to select one of the offered housing options or search on their own for alternatives
      iii. If they choose to stay beyond nine (9) nights then they will have to pay for it from their housing allowance (at their own expense)
3. **Responsibility of accommodation for facility department will end after the signing of the first contract between landlord and employee.**

Prepared by:	Reviewed By:	Approved by:
Engr. Malek Al-Mobarek	**Ms. Camilia Kuriam**	**Prof. Khaled Al-Kattan**
Senior Manager, Facility.	**Director, HR**	**VP, Finance & Administration**

Administration Policies & Processes Manual -FD006

Policy Code

FD006

I. Office Stationery & Supplies

A. **Overview**

This policy covers the rules, standards and guidelines that govern the University's office stationery and supplies activities.

B. **Objective**

The objective of the Office Stationery and Supplies policy is to ensure that the various Colleges, Divisions, Departments and Offices have sufficient office stationary supplies to meet business requirements and enable them to perform their duties and functions.

C. **Policy Details**

1. To define guidelines and standards for publishing and printing of stationery and define procedures for ordering and distribution of stationery.
2. To define standard and non-standard stationery items and define a process for ordering and distribution of stationery items.
3. The purchase of stationery and office supplies and materials shall follow the policies and procedures being developed by the Procurement Department.
4. The purchase of office supplies shall be based on established re-order points of the items that shall not go beyond the three-month requirement.
5. Office supplies and materials shall be obtained locally. The Facility Department shall make sure that the items available shall meet the quality specifications of the users. In the absence of the requested items, these will be substituted with items nearest to the specified commodity, in consultation with the requesting Department.
6. The Facility Department shall maintain a stock card for each item in the storeroom, which shall record the purchases, price, withdrawals and running balance of stock.
7. The Facility Department shall ensure that, in maintaining a certain supply level of stocks, the stock levels will be sufficient to meet the projected requirements for a certain period while attempting to keep stock levels as low as possible. This will avoid using excessive storage space and avoid wastage due to expiration of items and/or inventory surplus.
8. Requests for office supplies/materials shall be originated from the Department level and not by individual user, allowing for easy monitoring and control. This shall be done on a monthly basis.
9. It is the responsibility of the Facility Department to check that the amounts requested from the University’s departments are reasonable and in line with, where appropriate, previous usage quantities.
10. The use of stationery/letterheads bearing the Alfaisal University logo shall be limited to external communications. Inter-office communications shall be on paper with letterhead. The same size of paper shall be used in all office documentation, policies, procedures, and manuals. As much as possible, office forms shall be on A4 size paper as a standard size.

D. **Types of Stationery**

Stationery, for the purpose of this policy, comprises of:

- Standard Stationery: Standard and uniform printed communication, including graphic material that is, and must be used, across the Alfaisal University.
- NON STANDARD STATIONERY: Non-Standard printed communication, including graphic material that is used for a specific purpose by one/few Alfaisal University's Departments.

1. **Standard Stationery**
   Standard Stationery includes only the following items:
   1. Letterheads
   2. Continuation Sheets (Pages)
   3. Half Sheets / Pages
   4. Envelopes
   5. Pens & Pencils
   6. Memo Pads
   7. Fax Cover Letter Pads
   8. Business Cards
   9. Newsletters
   10. Greeting Cards
   11. Purchase Orders
   12. All internal Alfaisal University's forms
2. Non-Standard Stationery
   Non-Standard Stationery includes, but is not restricted to:
   1. Posters
   2. Flyers
   3. Pamphlets
   4. Leaflets
   5. Brochures and Guides
   6. Graphic material
   7. Other specific publicity material

E. **General Guidelines for Printing Stationery**

1. Only stationery that is approved and supplied by the Facility Department shall be used by employees to conduct the Alfaisal University's business. Private stationery for conduct of the Alfaisal University business shall not be permitted.
2. Alfaisal University stationery shall not be used by employees for personal purposes.
3. All STANDARD stationery shall be approved by the Facility Department in accordance with the Delegation of Authority Matrix.
4. All NON-STANDARD stationery must have approval in accordance with the Delegation of Authority Matrix.
5. Specifications relating to Logo, Paper, inks, and typefaces used shall be standard on all printed materials in order to promote a consistent visual identity. Logo size will differ based on size of material on which it must be printed. These standards will be set by MPR/ the Development Division and enforced by the Facility Department.
6. The printing and supply of stationery will be done by outside suppliers identified by and contracted by the Facility Department in accordance with the Procurement Policies and Procedures of the University.
7. To obtain economical rates, consistent visual identity and better quality control, the Alfaisal University shall have no more than two approved third party suppliers of printing and publishing services.
8. An individual's name and title cannot be printed on stationery unless the individual is an employee of the Alfaisal University. Memo Pads, however, may incorporate in an individual's name and title with prior approval from the immediate line manager of supervisor and the HR Department.
9. The employee shall not tamper, alter, personalize or modify the Alfaisal University's stationery for any purpose. This includes introducing or altering the design, logos, graphics, markings, wordings, color, etc.
10. All STANDARD stationery that is printed shall be done in Arabic and English languages. While facing the printed item, its right side shall have the English version and left side, Arabic.

11. Business cards for non-faculty members shall not contain the educational qualifications of the employee. However, doctoral titles for can be used subject to prior approval from concerned line manager or supervisor and the HR Department.
12. This policy applies to all providers of printing and publishing services to the University regardless of the vendor and it is the employee's responsibility to ensure that the vendor complies with these policy guidelines.

F. **Types of Office Supplies**
1. Office Supplies include the following types:
    - **Commonly used stationery items** such as pencils, writing pads, registers, adhesives, scales etc. to carry out the Alfaisal University business and;
    - **Commonly used office equipment consumables** such as printer cartridges, toner cartridges, paper for photocopying and printing etc.
2. The Facility Department will ensure the availability of sufficient office supplies to be allocated to each department based on prior approval from concerned line manager or supervisor.

G. **General Guidelines for Requesting Office Supplies**
1. Only stationery that is approved and supplied by the Facility Department of shall be used by employees to conduct the Alfaisal University's business.
2. The concerned Department's Administrative Assistants/Secretary shall create an MRS in ERP system, obtain authorization of Head of Department and notify the Facility Department by the fifth last working day of the month for the use of the next month.
3. The Facility Department shall consolidate the order, procure and/or distribute the printed stationery and office supplies by the last day of the previous month for next month's use, record usage and obtain acknowledgement of concerned Department's Administrative Assistant/Secretary.
4. Non-Standard printed stationery and office supplies shall be ordered at least 15 working days prior to date of requirement. Administrative Assistants/Secretaries shall create an MRS in ERP system, obtain authorization of Head of Department (for non-standard stationery) and inform Facility Department for placing order.
5. Clear and complete specifications and instructions must be given by Department's Administrative Assistants/Secretaries of the nature of non-standard requirement. If the specifications or instructions are not clear or complete, it will delay the order and the Facility Department would seek additional clarifications, until the requirement is clearly defined.
6. Non-Standard Printed Stationery requests shall be accompanied, to the extent possible, by:
    - Hard copy of material to be printed
    - Soft copy of material to be printed, through e-mail; on disk (wherever possible)
    - Any necessary photographs (if applicable) or illustrations
    - Sample of previous or similar publication, if available
7. No NON-STANDARD printing or office supplies shall be procured until the final proof /sample is approved by the concerned Head of the requesting Department and by MPR wherever applicable. The Facility Department shall obtain approval of the Head of Department on the proof of printed stationery and on the quotation for stationery/office supplies.
8. Facility Department shall record all stationery and office supplies ordered and supplied in separate registers maintained by them. Reconciliation of the suppliers invoice with the register shall be done prior to authorization for payment is given by the Facility Department to the Financial & Accounting Department.
9. Facility Department is responsible for safe storage of stationery and supplies until distribution. After distribution to concerned Departments, the Department's Administrative Assistants/Secretaries shall become responsible for safe storage and proper utilization of their office supplies and stationery.
10. Office stationery and supplies shall be kept under lock at night or out of working hours and the keys with the Facility Department and Department's Administrative Assistants/Secretaries for safety reasons and to prevent misuse of the University's office supplies.

H. **Planning and Budgeting for Office Stationery and Supplies**

1. Each Head of Department shall identify the quantity of standard and non-standard office stationery and office supplies required for the year at the start of each year. Estimated costs of various standard items shall be circulated by the Facility Department to assist in budgeting.
2. Facility Department shall make budgetary provision for stationery and supplies at the start of each year based on estimates of the concerned Head of Departments.
3. Overuse and above the budget requests shall be approved based on proper and business justification in accordance with the Delegation of Authority Matrix at the request of the concerned Department's Head.
4. The Financial & Accounting Department shall settle supplier invoices in accordance with the Procurement Policy and terms and conditions of the service contract.

II. Office Support Services

A. **Overview**
This policy covers the rules, standards and guidelines that govern the University's office support services activities.

B. **Objective**
This policy is aimed at providing administrative support services in a coordinated manner as required by all Colleges, Divisions, Departments and Offices to allow them to fulfill their functional responsibilities. Office support services assist in enhancing the effectiveness of the operating departments and include diverse activities such as mail services, phone services, office machinery services, utility bills, administrative logistics, refreshment service, etc.

C. **Policy Details**
   1. **Mail Services**
      a. **Incoming Mail**
         1. Incoming Mail is mail that is received from external sources and consists of the following:
            - Mail delivered through Saudi Post
            - Mail delivered to University office by courier/s
            - Hand delivered mail at University by other individuals/organizations
         2. It is the policy of the University to centralize all incoming and outgoing mail and courier services.
         3. Each function shall give the use of electronic mail higher priority in order to reduce mail costs, expedite mail dispatch and save paper work.
         4. The Facility Department shall assign a Messenger/Driver to deliver/collect mail packages to/ from the Saudi Post Authority before working hours and at regular intervals during the day.
         5. The Facility Department is responsible to contract with express services (DHL, FedEx, Aramex, UPS, etc).
         6. All incoming mail to the University shall be received and sorted out by the Facility Department and will be ready for distribution within the same day using the form (Alfaisal University AD -10 Incoming Mail Form).
         7. Incoming mail shall be time stamped, sorted and distributed to concerned Divisions/ Departments early enough to minimize delay and ensure that the mail has reached the recipient.
         8. Administrative Assistants/Secretaries are responsible to collect incoming mail from the Facility Department Mail area.
      b. **Outgoing Mail**
         1. Mail that is for outside distribution or that is to be sent to other employees is known as Outgoing Mail and will be dispatched / delivered as per the following outgoing mail dispatch/ delivery schedule:
            - Dispatch through Saudi Post
            - Dispatch through express/courier mail
            - Dispatch internally for inter-office mail
         2. All outgoing mail shall be sent to the Administration Services to manage its distribution (external or internal). This needs to be done within the same day.

3. Outgoing mail shall be collected from Administrative Assistants/Secretaries in different Departments, on a regular basis during the day using (Alfaisal University AD-11 Outgoing Mail Form).
4. All outgoing courier mail (DHL, FedEx, Aramex, UPS, etc.) shall have the approval of the Concerned Department Manager.
5. Once collected from Departments, mail shall be sorted out by class, urgency and destination by the Facility Department.
6. Once volume justifies, outgoing mail shall be dispatched to the post office by the Facility Department.
7. All external mail shall utilize University's envelopes (Envelopes are labeled with University's name, logo, and address).

2. **Photo Copiers**
    1. The ITS Department must ensure the availability of adequate copying machines either through leasing or direct purchase, at the various University's premises and locations.
    2. Private Photo copying, whilst permitted in small quantities, shall be discouraged, to prevent disruption in the use of the machine for the University activities.
    3. A logbook shall be maintained for all Photo Copiers order to keep track of all charges.
    4. Photo Copiers shall be located in a locked room; entry to that room shall be restricted to authorized personnel only.
    5. The ITS Department by utilizing the services of Facility Department is responsible to ensure valid maintenance contracts for all the copying machines in the University and that proper maintenance is carried out on all these machines.
    6. Only the authorized personnel shall operate photo copying machines.
3. **Telephone and Fax Machines**
    1. The ITS Department by coordinating with Facility Department must ensure the availability of adequate telephone sets and fax Machines either through leasing or direct purchase.
    2. A logbook shall be maintained for Telephone and Fax Machines in order to keep track of all communication charges.
    3. If needed, Fax Machines shall be located in accessible room/area and entry to that room/area shall be restricted to authorized personnel only.
    4. A separate fax machine shall be used by each Department in order to expedite response times.
    5. Administrative Assistants or Secretaries shall sort out and distribute faxes according to their priority to Departments.
    6. Copies of faxes shall be time stamped and filed at the secretarial level to ensure adequate recording of all incoming and outgoing faxes.
    7. The ITS Department by utilizing Facility Department Services is responsible to ensure valid maintenance contracts for all the University's Telephone Sets and Fax Machines.
    8. Only authorized personnel shall operate Fax Machines and other office machinery.
4. **Telephone Calls**
    1. An automated call distribution system shall be in place, and it is responsible for managing all the phone calls of the University.
    2. Outgoing telephone calls are for business purposes only.
    3. All international calls shall be recorded using the automatic billing system. A printed report shall be produced, sorted out and sent for approval by the respective Department Manager on monthly basis.
    4. Telephone bills shall be received by the Facility Department, sent to ITS Department for review, then prepared and forwarded to the Finance Department for processing.
5. **Bulletin Boards**
    1. The Facility Department is responsible for the University Bulletin Boards.
    2. General Memos and circulars issued by the University shall be posted on the bulletin board and shall be distributed to all employees by fax or email.
    3. General Memos and circulars posted in University's Bulletin Boards shall be removed on agreed expiry/removal dates.

4. The employees shall not have the right to post any document or personal notice on the bulletin board unless the concerned line manager together with the MPR and Facility Departments approve it and a removal date is determined.

6. **Utility Bills**
    1. The Facility Department is responsible to collect and receive University utility bills.
    2. University utility bills (Telephone, Electricity, Water, etc) received from utility Companies shall be paid within specified time frame without any delays.
    3. The Facility Department shall coordinate with the Finance Department to prepare the necessary vouchers concerning all utility bills.
7. **Vehicles Administration**
    1. The Facility Department should maintain a file for every vehicle owned or leased by the University. This file should include copies of:
        - Original vehicle registration and official documents.
        - Date of vehicle purchase.
        - Istimara date and motor vehicle periodic inspection (MVPI) Fahes Dawri documents.
        - Vehicle reports and tickets issued.
        - Lease information, if applicable.
        - Original insurance policy document.
        - Vehicle maintenance record (includes all the maintenance invoices);
        - Vehicle expected maintenance date.
        - Status of maintenance and repairs history.
        - Driver's personal information.
        - All vehicles gas consumption.
    2. All University's vehicles should be either owned or leased and maintained in the University's financial books as fixed assets.
    3. All University's vehicles must be insured by a reputable insurance company.
    4. A logbook will be maintained for each vehicle. The face of the logbook (cover) shall bear the name of the driver, vehicle type and plate number.
    5. A ledger for the cost of fuel and maintenance of each vehicle shall be maintained at the Finance Department.
    6. The Facility Department shall ensure the availability of sufficient gas coupons to fuel the University's vehicles.
    7. The Facility Department is responsible for ensuring that the University's vehicles are well maintained and ensured.
8. **Telephone Directory**
   The ITS Department is responsible to maintain and update the University's directory at all times.
9. **Office Keys**
   The Facility Department is responsible to control all office keys of the University including key issuance, duplication and custody.
10. **Office Reception**
    1. HR Department is responsible for monitoring receptionist works and behavior on constant basis.
    2. Reception personnel are considered the ambassadors of Alfaisal University, they should be polite, professional, neat, well spoken, and give attention to customers and visitors.
    3. Reception personnel should use standard and concise greeting words while answering telephone calls.
    4. Reception personnel shall control the reception area with assigned department and guide and assist visiting clients and guests.
    5. Reception personnel shall allow authorized personnel only to enter the premises of the University.
    6. Reception personnel shall ensure that they register on the visitor's logbook the name of the visitor, date and time of arrival, purpose of visit, person to visit, and the time the visitor is leaving the premises.
    7. Reception personnel shall provide directions or escort visitors / clients to their destination.

11. **Community Services & Social Responsibility**
    1. The HR Department in coordination with MPR and Facility Department should plan the nature and level of social, cultural, religious, sports and other related activities for its personnel as per management directives.
    2. If so requested by senior management, the HR/ Facility Department is responsible for the negotiation of any rates or special packages for health clubs, vehicles insurance, etc., for its employees.
    3. The Facility Department should make available and maintain mosque facilities and HR is responsible for facilitating the upholding of prayers and religious ceremonies.
    4. The HR by coordinating with Facility Department may facilitate, organizes and sponsors Omrah trips and religious competitions as per management directives.
    5. The HR by coordinating with Facility and MPR Department may facilitate employees who wish to conduct sports tournaments and other social events for University employees and their families as per management directives.
    6. The Facility Department shall participate in public services activities and sponsor community activities (cleaning of public areas, garbage collection, etc.) as per management directives.
12. **Planning and Budgeting for Office Support Services**
    1. Each Head of Department shall estimate the office support services including mail services, phone services, office machinery services, utility bills, travel services, administrative logistics, etc. required for the year at the start of each year. Estimated costs of various standard items shall be circulated by the Facility Department to the various Managers to assist in budgeting.
    2. Facility Department shall make budgetary provision for the office support services and supplies at the start of each year based on estimates of the concerned Heads of Departments.
    3. Use over and above the budget shall be approved based on proper and business justification in accordance with the Delegation of Authority Matrix at the request of the concerned Department.
    4. The Finance Department shall settle supplier invoices in accordance with the Procurement Policy and terms and conditions of the service contract.

III. Filing & Archiving Services

A. **Overview**

This policy covers the rules, standards and guidelines that govern and clarify the University's archiving services and activities.

B. **Objective**

This policy has been developed to ensure that essential records and documents of the University are retained for the required length of time. This will be achieved by filing documents and records in accordance with the need for future access to these records and while at the same time ensuring safe and secure shortage of important University’s records.

C. **C. Policy Details**
    1. The intention of this policy is to provide clear guidelines to all employees regarding the appropriate filing, retention and disposal of University’s records and information via an agreed archiving process.
    2. The University has an obligation to implement and preserve good archiving procedures and processes to protect its records and information.
    3. Each Department within the University is responsible for the filing and storage of its own records and documentation. As far as possible this shall be within the same Department or close to the area of work within the University’s premises if frequent day-to-day access is required.
    4. Local filing procedures regarding the archiving of files and destruction of files reaching their destruction date shall be agreed on with each College / Department.
    5. As Colleges / Departments are responsible for their own filing and archiving. There is NO need for other departments to retain duplicate copies, unless they have a specific need for their own purposes, e.g. Finance & Accounting will file or archive ALL invoices. Therefore individual departments will avoid keeping duplicate records.

6. To use filing/storage space to its best advantage within colleges / departments there shall be a discipline to constantly review whether the records need to be archived.
7. The Facility Department is responsible for managing and allocation of space for all closed files to be archived in the University's central archives.
8. It is the responsibility of all line managers and staff to ensure that records and information are filed and archived correctly.
9. It is the responsibility of all line managers to identify and destroy or archive unnecessary records and paperwork on a regular basis.
10. It is the responsibility of all employees to keep information of a confidential nature safe and properly filed for easy of access and reference.
11. Every employee will be responsible for the management of archive records for their business areas under the advice of their line managers.
12. The HR Department is responsible for maintaining employees' personnel files and records in a safe and fire poof cabinets.
13. The HR Department will adopt appropriate and adequate security measures for storage of and access to archival records in whatever format, dependent on the record type.
14. Shredding of University's documents and files are only allowed after the expiry of the retention period.

D. **Filing**

1. Copies of all incoming and outgoing documents shall be filed in a systematic manner according to their nature either sequentially or by date.
2. Filling system shall be capable of preserving necessary information and of retrieving it accurately and quickly when required.
3. Department Administrative Assistants/Secretaries shall coordinate with their Department Managers to design the filing system that is most suitable for their business requirements and operations.
4. The basic elements that shall be available in an effective filing system are:
    - The method or combination of indexing methods.
    - Suitable stationery and supplies.
    - The basic procedure for filing and retrieval material.
    - A designated Committee to handle the process of reviewing all documents and determining retention and destruction periods of data and records.
    - Periodic review of University's documents and records.
5. All documents shall be grouped and filled according to a predefined classification scheme.
6. The newest addition to a file shall always be placed on top of other papers in the file.
7. When filling documents that can be classified in more than one file, a cross-reference sheet shall be prepared and filed as appropriate.
8. When filing a document that needs follow up, a follow up slip shall be prepared and filed in a tickler file.
9. When a document is withdrawn from a file, an out card shall be inserted in its place. The card shall show the date of the withdrawal and the name of the person who has the document in order to easily locate the document and ensure its prompt return.

E. **Sending Records to the Central Archives**

1. All formal documents and communications issued or received by the University shall be archived in the Central Archiving System by the respective department's Administration Services Staff through Facility Department.
2. The Archives might consist of important data and information, Board of Trustees (BOT) meeting minutes, committees' meetings minutes, contracts and agreements of any kind, correspondence of senior management, financial records, past employee records, projects records, research records of former staff, records of collaborations with outside bodies, etc. shall be archived by the Administration Services of the concerned Department in line with the Archiving Policy guidelines.
3. The University's archival records are those records which are no longer current but which have been chosen to be preserved, for a specified length of time.
4. Before the archiving process is implemented, all collections of paper forming a file must be checked by the concerned Departments for duplicates to ensure that the minimum number of papers is kept. In addition, only papers considered essential to the file shall be kept.

5. Any duplicates identified must be destroyed in local confidential paper disposal facilities or by other appropriate confidential methods e.g. shredding machines by concerned Departments.
6. All remaining papers and records must be correctly filed according to departmental procedures and needs. The file must not contain loose papers unless the file is to be sealed.
7. Each file must be clearly and appropriately labeled with detail of the file content and agreed archive date or destruction date as a minimum.
8. Each Department is responsible for cataloguing its records. The retention must be completed, including a signature from either the concerned Dean of College or Head of Department.
9. The Facility Department if requested shall provide carton boxes specifically designed for archiving purposes.
10. The concerned Department Manager who intends to send records to the Central Archives shall fill out a form (Alfaisal University AD-07 Archiving Form) or send an email to the Facility Department.
11. A log book shall be maintained for all, incoming documents coming to the Central Archives by the Facility Department, stating:
    - Source
    - Addressee
    - Incoming date
    - Subject
    - Classification
12. All incoming documents shall be filed in a systematic manner according to their nature either sequentially or by date.
13. It is extremely important to note that each box of records that is sent to the Central Archives has a cost implication in terms of the cost of moving the record, the cost of storing the record for the agreed retention period and the cost of retrieval.

F. **Retrieval of Records from Central Archives**
1. Only complete boxes will be retrieved from the University's Central Archives, not individual files.
2. Retrieval can be arranged by completing the Retrieval Form (Alfaisal University AD-08 Retrieval Form) which shall indicate the Box Reference Number and File Number if appropriate.
3. The Requester for records retrieval shall fill out the above form and send it to the Facility Department stating the number of box and the contents of the box.
4. Boxes can only be retrieved by fax or by email with an official Retrieval Form including an authorized signature from the manager or supervisor of the requesting department.
5. Archive boxes that need to be returned to storage can either be returned immediately or await the next collection.

G. **Records Retention**
1. The records that are eligible to become archived may need to be kept permanently because they are evidential, or for some other legal reason, they may be a historical record of the University, they may have a wider value to the community or they may have a business need value.
2. All University files, information and documents that are no longer needed in day-to-day operations shall be retained for a specific period of time in the University's central archives depending on the importance.
3. Each Department shall develop a Records Retention Schedule for all its records and documentation specifying the type of documents as well as the retention period for each type of records.
4. All records that are kept at the University's archive will be included in the Records Retention Schedules.

Responsibility	Procedure	Reference
	Archiving	
Concerned Department Assistant Administrative	1. Files the documents according to predefined classification scheme. 2. Groups all documents in box file 3. Places labels with details of the box file	Archiving Form (AD-07)

Responsibility	Procedure	Reference
	4. Completes Archiving Form and send it with the box files to the Facility Department	
Concerned Department Head (CDH)	2. Checks the box files and approves archiving them	
Archiving Coordinator	5. Checks the correctness and completeness of all coming box files 6. Updates a log book for all incoming box files to the central archiving unit. 7. Archives all incoming documents according to their nature either sequentially or by date	
	Retrieval	
Concerned Department Assistant Administrative	1. Completes the Retrieval Form	Retrieval Form (AD-07)
Concerned Department Head (CDH)	2. Checks and approves the Retrieval Form before sending it to the Facility Department	
Archiving Coordinator	3. Reviews the request 4. Retrieves the requested box file and hand it over to the department's messenger 5. Updates the log book	

Finance & Accounting Department

Accounting & Financial Policies -F1001

Policy Code

F1001

Part I: Financial Policies

Section I - Internal Controls

1. **Effective System of Internal Control**
   Policy: Alfaisal University should maintain an effective system of internal control in order to monitor compliance with policies and procedures established by management.
   General Definition: "Internal control is a major part of managing an organization. It comprises the plans, methods, and procedures used to meet mission, goals, and objectives and, on doing so, supports performance-based management. Internal control also serves as the first line of defense in safeguarding assets and preventing and detecting errors and fraud. Internal control should provide reasonable assurance that the objectives of the University are being achieved the following categories:
   - Effectiveness and efficiency of operations including the use of the entity's resources.
   - Reliability of financial reporting, including reports on budget execution, financial statements, and other reports for internal and external use.
   - Compliance with the University manuals and procedures.

A subset of these categories or objectives is the safeguarding of assets. Internal control should be designed to provide reasonable assurance regarding prevention of or prompt detection of unauthorized acquisition, use, or disposition of a University's assets."

Internal Control Standards: The Five Standards for Internal Control

1. **Control Environment**: Management and employees should establish and maintain an environment throughout the University that sets a positive and supportive attitude toward internal control and conscientious management.

2. **Risk Assessment**: Internal control should provide for an assessment of the risks the University faces from both external and internal sources.
3. **Control Activities**: Internal controls activities help ensure that management's directives are carried out. The control activities should be effective and efficient in accomplishing University control objectives.
4. **Information and Communications**: Information should be recorded and communicated to management and others within the University who need it and in a form and within a time frame that enables them to carry out their internal control and other responsibilities.
5. **Monitoring**: Internal control monitoring should assess the quality of performance over time and ensure that the findings of audits and other reviews are promptly resolved.

Objectives:

Internal control can be divided into two areas: accounting controls and administrative controls. Administrative controls deal with the operations of the University, whereas the accounting controls deal with accounting for such operations. This manual focuses on internal accounting controls (although there may be some overlap between the two). Accounting controls should be designed to achieve the following five basic objectives:

Validation:
Validation is the examination of documentation, by someone with an understanding of the accounting system, for evidence that a recorded transaction actually took place and that it occurred in accordance with the prescribed procedures. As systems grow more sophisticated, validation is a built-in component whereby the transactions test themselves against predetermined exceptions. For example, confirms that all relevant details of a transaction are properly recorded: the nature, quality, and condition of goods received are checked by accounting, weighing, and inspecting and recorded at time of receipt.

Accuracy:
The accuracy of amounts and accounts classification is achieved by establishing control tasks to check calculations, extensions, additions, and account classifications. The control objective is to be certain that each transaction is recorded at the correct amount, in the appropriate account, in the right time period. For example, one might "double-check" another individual's work on sales invoices by repeating the calculations, extensions, and additions and reviewing the account distributions. Control tasks, which ensure that transactions are recorded and reported in the proper accounting period, are essential to accurate financial reporting. For example, when goods are received they should be checked and recorded at the time of receipt. The receiving records should then be matched with the related vendor’s invoices as a further check on the timely recording of transactions.

Completeness:
Completeness of control tasks ensures that all transactions are initially recorded on a control document and accepted for processing once and once only. Completeness controls are needed to ensure proper summarization of information and proper preparation of financial reports. To ensure proper summarization of recorded transactions as well as a final check of completeness, subsidiary ledgers and journals with control accounts need to be maintained. This is because individual transactions are the source of the ultimate product-financial reports. Completeness can be achieved by using two techniques. One is to sequentially number all transactions via documents as soon as the transactions occur and then apply the control task of accounting for all the numbered documents completed in the processing. The use of "control totals" also provides information by which control is exercised. This is done by totaling the critical numbers before and after processing. When the two totals agree, one assumes that the processing is complete.

Maintenance:
The objective of the maintenance controls is to monitor accounting records after the entry of transactions to ensure that they continue to reflect accurately the operations of the business. The control system should provide systematic responses to errors when they occur, to changed conditions, and to new types of transactions. The maintenance function should be accomplished principally by the operation of the system itself. Control

maintenance policies require procedures, decisions, documentation, and subsequent review by a responsible authorized individual. Disciplinary control tasks, such as supervision and segregation of duties, should ensure that the internal control system is operating as planned.

Physical Security:
It is important in all business organizations that the assets are adequately protected. Physical security of assets requires that access to assets be limited to authorized personnel. One means to limit access to both assets and related accounting records is through the use of physical controls. Protection devices restrict unauthorized personnel from obtaining direct access to assets or indirect access through accounting records, which could be used to misappropriate assets. Locked storage facilities restrict access to inventories, and fireproof vaults prevent access to petty cash vouchers. Transaction recording equipment limits access to assets by limiting the number of employees involved in recording and posting transactions, thereby minimizing the possibility of fraudulent misrepresentation. Electronic cash registers can record cash sales both on cash register tapes and at an off-site electronic storage facility, creating two records of a single transaction. Many control procedures are common to various areas of accounting. They have been discussed in this chapter as a convenience to the user of this manual and to emphasize that similar procedures are applicable to many control objectives.

Section II - General Ledger and Journal Entries

1. **Maintaining an Effective Accounting System**
   Policy: Alfaisal University should establish and maintain an effective accounting system to capture data regarding the economic activity of the University.
   General: Management requires accurate and timely financial reports in order to judge the performance of each Center and plan for future activities. University maintains accounting records in accordance with the Accepted Accounting Principles. The Finance Department is responsible for all financial data classification and coding structures. Any changes to established codes will be issued by the Finance Department.
2. **General Ledger Activity**
   Policy: All valid general ledger entries, and only those entries, should be accurately recorded in the general ledger.
   General: The general ledger consists of control accounts for accounts in the University's chart of accounts. These accounts are listed in the general ledger in numerical order with the account title.
3. **Adequate General Ledger Maintenance**
   Policy: The general ledger should be adequately maintained.
   General: As stated throughout this section, the general ledger accounts are the source of all of the financial reports used by management. It is therefore critical that the accounting records, after the entry of transactions in them, are properly controlled so that they continue to reflect accurately the operations of the centers.
4. **Fiscal Year Period**
   Policy: The University and each of its Centers will maintain a fiscal year of October 1st to September 30th.
   General: All contracts, reports, and accounting records should reflect the fiscal year as October 1st to September 30th.
5. **Monthly Closing Procedures**
   The deadline for monthly closing should not exceed the 10th working day of the next month. This means that we should make sure that we receive all or most of the third parties invoices by the day number 5 of the next month. Based on the above we would appreciate if you increase the efforts with us to follow up with the suppliers, Petty Cash, and the procurement to ensure receive any pending bills for the month by the above-mentioned date.
   This will help to:
   - Increase the efficiency of all our work.
   - Enable the management to receive accurate and complete information.
   - Meet all our reporting deadlines internally and also for Shared Services Agreements.

Section III - Prepaid Expenses & Inventory

1. **Monitoring and Accounting for Prepaid Expenses**
   Policy: Alfaisal University shall establish a method to monitor and account for prepaid expenses.
   General: Prepaid expenses arise whenever cash is disbursed and a portion of the associated benefit of the disbursement is for a future period. An illustration of a prepaid expense is an insurance premium that is paid in a lump sum when the policy is issued or renewed and the policy covers multiple accounting periods. Consequently, an asset (prepaid expense) is recorded on the books for the total premium when paid and is charged (amortized) to expense ratably over the coverage period.
2. **Controlling Asset Balances**
   Policy: Detailed records of prepaid expenses should be reconciled periodically with the control account.
   General: Reconciliation's should be performed to help ensure the accuracy of the detailed records and the control account.
3. **Cost-Flow Methods**
   Policy: Determination of a cost-flow assumption and method of allocating production costs should be made by appropriate levels of management.
   General: Various cost-flow assumptions may be used including specific identification; first in, first out (FIFO); last in, first out (LIFO); and variations thereof. Within FIFO and LIFO, the most common conventions utilized are average cost and standard cost. Direct labor and material may be charged via a standard cost system or specific job orders. Other production costs (indirect costs) should be allocated by either of the following methods:
   - Direct costing-variable indirect costs (e.g., indirect labor) are allocated to units produced, and fixed indirect costs (e.g., factory rent) are accounted for as a period expense. If this method is used, Alfaisal University needs to have the ability to convert to full absorption for external reporting.
   - Full absorption costing: All variable and fixed indirect costs are allocated to all product units produce

     Finished goods are normally accounted for on the same basis as raw materials (FIFO, LIFO, etc.) and include accumulations of various raw materials, component parts, and production costs.
4. **Inventory Control**
   Policy: Enforce internal controls to provide physical security for all inventory (raw materials, component parts, work in progress, finished goods, and other) should be established.
   General: Cost/benefit analyses should be utilized to ascertain the optimum level of security that should be provided (e.g., locked storage areas, site security guards, etc.). Relative value, likelihood of, and ease of removal/loss are factors to be considered in drawing a conclusion.
   Inventory System Security

   1. The overall Inventory System Software Security lies with IT.
   2. The access to Inventory System is given to:
      - General Ledger Accountant, for processing Inventory data and generating Inventory reports.
      - Storekeeper, for processing Issue/Receipt and Inventory reports.
      - Finance/Centers Staff, for viewing and printing only their respective responsibility areas
   3. All access authorization to Inventory System shall remain with Procurement manager.
   4. Quantity adjustment can only be made by Storekeeper through Material Issue/Receipt Voucher, by proper authority.

   Coding Scheme

   1. Each store item should have unique code.
   2. There are many major categories could be identified for all store items. These categories may be expanded based on business requirement.
   3. In order to avoid duplication in store item code, Warehouse supervisor is authorized to issue new store item codes.

4. All warehouses shall use Material Receipt Voucher (MRV) and Material Issue Voucher (MIV) to record the inventory transactions. All MRV and MIV should be given unique number by concerned warehouse starting with MRV and MIV respectively.

5. **Perpetual Inventory**
   Policy: Alfaisal University should maintain selected inventory types on a perpetual inventory, where it more cost effective to do so, and the general/edger should accurately reflect the perpetual inventory
   General: For some inventory types Alfaisal University will not use a perpetual inventory system for various reasons:
   - Small size of the inventory.
   - Small number of Alfaisal University personnel using the inventory type.
   - Slow turnover of inventory.
   - Lack of sophistication in accounting records.

   Use and maintenance of a perpetual inventory is the preferred method; without it, management is unable to determine costs incurred for use in programs, volume, and the Saudi Riyal value of inventory on hand at any one moment.

6. **Periodic Physical Inventory**
   Policy: A physical count of all inventories should be made periodically (at least annually).
   General: Physical counts of all types of inventory may be taken concurrently at one time or periodically (cycle counts) throughout the year.

7. **Inventory Obsolescence**
   Policy: Management should ensure that inventory, material, component parts, and finished goods are evaluated for obsolescence.
   General: In addition to comparing the carrying cost of inventory with its market value, a comparison must also be made of the quantity of product on hand with the demand for it.

Section IV - Payments

1. **Disbursements from Bank Accounts**
   Policy: Disbursements from bank accounts should be made only for valid transactions.
   General: The payment for goods and services, whether accomplished by check or bank transfer, should be organized to ensure that no unauthorized payments are made, that complete and accurate records are made of each payment, and that payments are recorded in the appropriate period. Additionally, physical access to cash and un-issued checks must be restricted to authorized personnel.
   It is the responsibility of the Finance Department to check, control and make payments to suppliers and contractors after verifying that materials, supplies and services have been attested for receipt and that prices charged are in accordance with approved contracts, purchase orders or as otherwise agreed.
   The Purchasing Department within Alfaisal University is responsible for ordering, controlling and attesting the receipt of materials, supplies or services in accordance with approved contracts or purchase orders. They are also responsible to ensure that no commitment is made for such materials, supplies or services until enabling contracts, purchase orders or other forms of agreement are covered by an approved budget item and are authorized within the limits of the Delegation of Authority.
   Alfaisal University will deal with the suppliers or contractors in a professional and ethical manner, ensuring that payments are made within agreed terms whenever possible, and that we develop and maintain a positive reputation within the business community.
   Alfaisal University's internal audit department may verify, without notice, the processes and accuracy of these procedures as deemed necessary to satisfy management, the Board of Directors and external agencies' confidence in the Alfaisal University's policies.

2. **Authorization for Expenditure (AFE)**
   Policy: Implement controls that monitor and restrict financial commitments to ensure that Alfaisal University does not exceed approved budgeted amounts. Within these controls, the AFE procedures assist in the financial control of capital expenditures in that no capital expenditure may be made unless there is an

approved AFE in place.
General: This policy is to be used for both the construction and operational activities of Alfaisal University. Generally an AFE will be required for all major projects.

3. **Bank Reconciliations**
   Policy: Adequate steps should be taken to confirm the accuracy of the bank balances shown in the general ledger. Bank reconciliations should be completed as soon after month end as possible.
   General: Generally monthly data on cash receipts and disbursements journal should be compared with the details reported on bank statements. Unmatched, and mismatched data are used to reconcile the book and bank balances. The reconciliation may be performed manually by general accounting personnel (who do not have access to cash and are not involved in processing or recording cash transactions), or they may be performed by the computer when the organization's cash records are computerized and banks furnished statements on computer-readable media.
4. **Imprest (Petty) and Similar Funds**
   Authority: This Guide Memo is approved by [Title and Date].
   Summary: This Guide Memo outlines policy on establishing and managing a petty cash fund.
   Section headings for this Guide Memo are:
   1. USES OF PETTY CASH
   2. ESTABLISHING A PETTY CASH FUND
   3. CUSTODIAN RESPONSIBILITIES
   4. MAINTAINING A PETIY CASH FUND
5. **Employee Expense Reimbursement**
   Policy: Employees who incur expenses in the conduct of carrying out their duties and responsibilities should be reimbursed in an expedient manner.
   General: Employees will encounter situations, typically when traveling, that expenses are incurred and paid for using personal funds or credit card. These employees should complete the appropriate form, obtain approval and submit for reimbursement.

Section V -Revenue

1. **Credit Policy**
   Policy: Determination of an appropriate credit policy should be made by management personnel and strictly adhered to. Typically this is reflected in an approved fee model for each Center, and payment used on invoice receipt.
   General: Establishing credit terms and discounts is a business decision made in consultation with higher authority of the management, which includes determining the credit to be extended, the type and amount of discounts, the length of the discount period, return and adjustment policies, and special financing arrangements.

   Discount labeled (a) is a common discount in current practice. The others are under consideration. Credit Terms of when payment is due varies in each fee model.

2. **Revenue Recognition**
   Revenue is generally recognized when:

   - It is realized or realizable; and
   - It has been earned.

   Policy: All revenue should be recorded accurately and on timely basis. Services activities accounts are on accrual basis so revenues are recognized when invoiced. The responsible for account receivable has to checks:

   - When the event took place; and
   - If the services taken place, in order to determine how to recognize revenue.

All invoices adjustments must have an invoice adjustment form completed specifying invoice number, customer ID, reason for adjustment and an authorized signature approving the adjustment.

General: The preparation of a service invoice generally initiates the formal recording of revenue. Control over invoicing is established by authorization bill and is based upon supporting documents such as the client's order, or student registration.

3. **Account Receivable (AR)**
   Policy: Accounts receivable records should be accurate, complete, and maintained in a manner to indicate the length of time the customers debt has been outstanding.
   General: Accounts receivable arise from services on credit to students/clients. The account is relieved by the posting of receipts from the cash receipts journal, approved credit memos for allowances, or returned merchandise and write- efts of un-collectible accounts.
4. **Customer Returns and Allowances**
   Policy: Return and allowances should be controlled, documented, and recorded.
   General: The return of goods by the client results in adjusting receivables and inventory. Allowances are less frequent yet difficult to ascertain. They are often based upon evaluations of client complaints. Returns could be for books, uniforms, stationary, etc. where permitted by issuing Center.
5. **Other Revenues**
   Policy: Other types of revenue should be recorded on a timely basis.
   General: Revenues flow into Alfaisal University from sources other than the conventional sales of products and services. Interest and rent are examples of the more common sources.
6. **Sale of Goods and Services**
   Policy: The mission of Alfaisal University is to provide a fertile and stimulating environment for teaching, learning, research and service; to promote the pursuit of knowledge, to disseminate professional skills, and to provide high quality patient care. In carrying out these missions, it is often necessary for Alfaisal University and its affiliated Centers to provide goods and services which enhance, promote, or support those functions. At the same time, Alfaisal University must be mindful that when it provides goods and services it may be competing with local private businesses. Alfaisal University will engage in the direct sale of goods and services to individuals, groups, or external agencies only when those services or goods are directly and substantially related to the mission of Alfaisal University. Charges for goods and services shall be determined taking into account their full cost, including overhead when appropriate, as well as the competitive price of such items in the local community.
   General: Recognizing the central mission of Alfaisal University, the above guidelines shall not apply to charges for instruction in its regular, evening, or continuing education program; services provided in the practicum aspects of its instructional and research programs; services for fees in its extracurricular or residential life programs, including residence halls, food services, athletic and recreational programs; charges for patient care, including pharmacy services, food services, and housing services; and all other academic, research, service and health services delivery/patient care service programs directly related to the mission of Alfaisal University.

   The selling of services to faculty, staff, students, and patients which are for the convenience of and in support of the mission of Alfaisal University is distinctly different from sales to persons or organizations external to Alfaisal University. Therefore, different criteria to evaluate requests for such programs are appropriate. Each of the following criteria shall be used in assessing the suitability of providing goods or services to members of the Alfaisal University community:

   1. The goods or service is substantially and directly related to Alfaisal University's instructional, research, or service mission, and patient care mission.
   2. Provision of the good or service on campus represents a convenience to and supports residential life of the Alfaisal University community.
   3. The price or fee for the goods or services is established at such a level as to account for full costs, including Alfaisal University overhead.

4. Procedures should be in place for insuring that the service is provided only to members of the campus.

   The sales of goods and services to the external community shall be undertaken only if the goods or services are directly and substantially related to the mission of Alfaisal University. Each of the following criteria shall be used in assessing the suitability of providing goods or services to the external community.

   1. The good or service represents a resource which is directly related to a Center mission, which is not commonly available or otherwise accessible, and for which there is a demand from the external community.
   2. The price or fee of the good or service, including overhead when applicable, is competitive with the price of similar items in the private market place.

Section VI - Planning Process

1. **Business & Financial Planning**
   Policy: Management should establish philosophy, methodology and processes concerning business planning, and the related financial planning. The Board of Trustees approve the annual budget no later than 30 days before the beginning of the year to which it relates. The fiscal year of Alfaisal University start on 1st of October and end on 30th of September.
   General: The business and financial planning process is critical in having proper accountability and ensuring planning and coordination is done in a cost effective manner. It is recognized that the planning cycle has to move up from previous years, so that authorized recruitment and detailed program change planning can occur, well before the fiscal year begins. The new fiscal year starts on 1st of October to 30th of September.

   The development of a business plan from each center is required, supported with a financial plan complementing the planned business activities. To this end, Alfaisal University will evolve into sharing more information, coordinate our efforts better, and have more accountability and flow of ideas to learn from each other. With a business plan and periodic reporting of status the Alfaisal University can then defend the center's program to others, support the ideas and plans, encourage you, compare and stretch your talents for the betterment of all. Alfaisal University does not plan to micro-manage the Centers, but do require sufficient information to macro-manage to the desired outcomes.
   Accompanying this document are two associated materials.

   1. A generic business plan template as a means to capture your plans in a fairly consistent manner to other Centers.
   2. Financial plan methodology and guidelines that have been reviewed by the Board of Trustee.
   3. The financial plan workbook to capture financial details.

      A business and financial plans template will evolve in support of Alfaisal University's planning and recognizing achievements. (The non-academic centers will need to adapt the business plan components to reflect the services they provide to its clients.).

Section VII - Investments

1. **Investment of Idle Funds**
   Policy: Funds not presently needed for Alfaisal University operations should be invested to optimize return. Such investments should be property authorized and accurately accounted for.
   General: Alfaisal University should invest available funds in order to maximize earnings and minimize risk during the period of availability of the funds. The overall investment policy, specifying the needed liquidity of investments, acceptable risk, and expected returns, should be established by management and approved by Alfaisal University's Board of Trustee. The following is a description of certain types of investments Alfaisal University might have. This listing is not intended to be all-inclusive but rather to present common forms of investments:

2. **Safeguarding of Investments**
   Policy: All investments should be safeguarded against physical loss or misuse.
   General: All investments should be properly controlled to safeguard against theft misuse, or damage. Certificates and other investment documents should be properly controlled by authorized personnel and bankers or brokers, if any.
3. **Return on Investment**
   Policy: Earnings on investments should be calculated and recorded in the general ledger monthly.
   General: Separate investment income accounts should be utilized to record monthly activity. Such accounts should include interest and dividend accruals, and related interest and dividend income account as well as accounts for both the unamortized balance and the current year amortization of investment premiums and discounts.
4. **Investments with Significant Influence**
   Policy: The equity method should be used to account for investments in common stock in which Alfaisal University exercises "significant influence" over the investee corporation.
   General: The provisions of Accounting Principles applied in Saudi Arabia should be implemented for this kind of Investments such as:
   - Unconsolidated subsidiaries,
   - Corporate joint ventures, and
   - Other investments of less than 50 percent of the voting stock of the investee corporation where Alfaisal University can exert "significant influence". This is usually investments of 20% to 50% ownership.

Section VIII - Shared Services Cost Allocation

1. **Shares Services Cost Allocation**
   Policy: Determination of a cost allocation assumption for shared services provided by Alfaisal University Administration and method of allocating support costs should be made by the management.
   General: To determine the full program costs for the Centers, the shared services received should be costed and allocated out, even to the cost department level of a Center.

Section IX - Capital Assets

1. **Additions to Capital Assets**
   Policy: All additions to Capital Assets should be properly authorized. Expenditures for assets used actively in business operations that benefit a period exceeding one fiscal year should be capitalized.
   General: Capital Assets are generally categorized by the following broad asset types:
   - Land
   - Land improvements
   - Utilities and infrastructure
   - Buildings
   - Equipment- general
   - Furniture
   - Equipment- electronic
   - Library start-up books
   - Vehicles
   - Laboratory equipment
   - Computers and printers
   - Software license

   Capital budgeting is as integral to forming Alfaisal University's annual business plan as is operations budgeting. Since the budgeting process must take place far in advance, estimations of acquisitions in the budget year must be made. The decision to purchase a capital asset should be an informed one based on current year budgets, projected benefits of the addition utilization, and analysis of the lease versus purchase option. Note that Capital Assets and Fixed Assets terms are used interchangeably.

Commencement of Depreciation

The commencement of depreciation shall start from the month in which Alfaisal University receives the fixed asset. If the asset is constructed/manufactured by Alfaisal University, the month of commissioning of the asset shall be the commencement date. Moreover, the depreciation shall be calculated for the whole month irrespective of the date of receipt of the asset during the month. For example, if the asset is received on 25th day of the month in April, the depreciation for the full month of April shall be charged.

Physical Inventory

Each Centers Director and concerned Department Manger is the custodian of fixed assets held by him or her. Finance Department is responsible to maintain the Alfaisal University asset register. A physical inventory shall be undertaken by Finance Department at least once in two years.

2. **Fixed Asset Committee (FAC)**

   Fixed Asset Committee (FAC) is composed of:
   - Finance Manager.
   - Facility Manager.
   - Procurement Manager.
   - Manager of Initiating Department/ Centers.

   In the absence of any permanent member, an alternate member from the same department shall participate in FAC.

   The terms of reference for FAC is shown as below:

   1. **Introduction**

      The Managing Director should establish a Committee to be known as FIXED ASSET COMMITTEE (Hereinafter referred to as "FAC") to monitor the fixed asset, its classification and depreciation.
   2. **Objectives**
      1. The "Fixed Assets Committee" (FAC) is set up to ensure compliance with Alfaisal University policies and procedures on fixed assets.
      2. FAC has an advisory role to Management on fixed assets. FAC reviews and makes recommendations to Management on the following matters:
         a. Write-off of assets
         b. Disposal of assets
         c. Any changes in asset classification and rate of depreciation.
   3. **Responsibilities**
      - **3.1 Write-off of Asset**
        1. Review the justification for write-off.
        2. Hold discussions with concerned Departments and centers as required.
        3. Consider alternate uses of discarded asset before write-off.
        4. Recommend write-off to remove the asset and place the asset for disposal.
      - **3.2 Disposal of Asset**
        1. Consider the alternate uses of asset before disposal.
        2. Ensure the disposal of assets is made in the best interest of the University.
        3. Inspect assets to determine their estimated selling price and disposal mode.
        4. Evaluate all possibilities to use assets before recommending disposal.
        5. Recommend the disposal either via public auction or any other manner beneficial Alfaisal University to Executive Director.
   4. **Authorities**

      FAC is established to assist and advise Executive Director on the monitoring of fixed asset.
      The Chairman of the Committee is assigned with the authority to call and conduct FAC meetings and reports the recommendations of the Committee to the Managing Director.
   5. **Composition**

- **5.1 Membership - Permanent Members**
  The "Fixed Assets Committee" consists of the following THREE voting Permanent Members:
  - Manager, Finance – Chairman
  - Manager, Facility
  - Manager, Procurement
- **5.2 Memberships- Co-opted Members**
  The initiating Department / Center will be invited to attend the FAC meetings. Such Manager shall have the same voting power as Permanent Members.
- **5.3 Alternate Members**
  1. In the event of any permanent member being unable to attend meeting, an alternate member will attend the meeting.
  2. Managing Director shall appoint the alternate member.
  3. Such alternate members shall have the same voting powers as permanent members.
- **5.4 Secretary**
  1. The Chief Accountant of Finance Department is appointed as Secretary to the FAC.
  2. The Secretary has no voting right.
  3. The Secretary shall send a copy of all correspondence, agenda / minutes of meetings including related documentation to FAC Members and initiating Department / Center.
  4. The proceedings of the meeting are recorded with the results of the vote and circulated by the Secretary to be signed by all Members present.
  5. Dissenting opinions, if any should be recorded and stated in the Minutes of Meeting.

6. **Quorum & Decisions**
   1. The Committee can effectively make recommendations when at least TWO permanent members are present to the meeting including the Chairman or his substitute.
   2. The decision shall be taken on the basis of majority of votes. In case of tie, the majority of vote considered where Chairman of FAC has voted. FAC is responsible to ensure compliance with Alfaisal University policies and procedures on fixed assets. FAC has an advisory role to management on fixed assets. FAC reviews and recommends asset acquisition, capitalization, write-off and disposal. Managing Director shall approve fixed Asset write-off.

3. **Accurate Records of Capital Assets**
   Policy: Accurate records should be maintained of the cost and accumulated depreciation of all types of Capital Assets.
   General: The acquisition of capital assets should be organized to ensure that no unauthorized acquisitions have been made and that records of each acquisition are accurate, complete, and recorded in the appropriate period.
4. **Depreciation of Capital Assets**
   Policy: The cost (less salvage value) of all capitalized assets should be allocated (depreciated) over the estimated useful lives in a rational and systematic manner.
   General: Four generally accepted depreciation methods can be used to systematically allocate an asset's cost (less salvage value) over its useful life.
5. **Existence of Capital Assets**
   Policy: Control should be maintained over capital assets and their related records to ensure that all recorded assets exist and are in use for operations.
   General: The physical existence of capital assets should be verified and reconciled to the Capital Asset records. At a minimum the assets should be physically verified every three years.
6. **Disposal of Capital Assets**
   Policy: Disposal of capital assets should occur only after proper authorization has been given.
   General: Control over the disposition of property should be maintained not only to preserve the accuracy of the records but also to ensure that assets are safeguarded, improper disposal is avoided, and the best possible terms are received for disposal.

Section X - Purchasing Cycle

1. **Determination of Needs**
   Policy: Determination of Alfaisal University needs for goods and services should be made by appropriate personnel and according to Alfaisal University guidelines.
   General: The determination of needs for goods and services, such as spare parts inventory, equipment, office supplies, and professional services, should be made by qualified individuals in Alfaisal University award Centers and according to organizational guidelines that consider adequate quantities, reasonable prices, timely receipt, proper specifications, and desired quality. The guidelines must also consider and avoid the disruption of operational efficiency because of improper or untimely purchases and potential losses and use of cash caused by excessive purchases. Reference as to who can procure items should be made to the Delegation of Authority Manual.
2. **Placements of Orders**
   Policy: Proper approval should be obtained prior to the establishment of a firm order or contract to purchase. Administrative controls should be established over orders placed.
   General: Requisitions for purchases should be reviewed to ascertain that the amount of requisition is within the approval Alfaisal University limit. Purchase orders should be made on approved purchase order forms and reviewed for correctness. Approval of the purchase orders per Alfaisal University guidelines should be received prior to establishment of a firm order to contract. Copies of the purchase orders should be filed to allow for timely follow-up on uncompleted orders.
3. **Tendering Committees**
   Policy: There is to be a term of Reference for Alfaisal University's tender Opening Committees and the methods which it conducts its business.
   General: This procedure applies to the opening of all Tenders whereas the estimated value is from SR. 50,001 and above. The two committees are the Center Tender Committee (tender values 4 to 200,000) and Limited Tender Committee (200,001+). Both committees shall be established and have a Chairman, Deputy Chairman, Members and Secretary appointed by the Center Director or Managing Director, respectively.
4. **Sole Source Procurement**
   Policy: To ensure that the Sole Source Procurement of materials and equipment on behalf of the Users Center is executed in the most expeditious manner in order to obtain the specified material / equipment.
   General: This covers the requests, enquiry development, commercial and technical evaluation and order placement for Sole Source Purchases. It is policy of the University to utilize Sole Source Purchases whenever they are required to obtain material / equipment from a particular manufacturer / supplier. The use of this procedure is to be controlled by the pertinent Centre Director of the University. This procedure is to be utilized only in justifiable circumstances and the Sole Source Authorization Letter must include complete justification. The Centre Director shall prepare a submission to the Purchasing department to be supported with all documents and any purchasing history connected with the commodity and explains in details the reasons for requesting approval from a single source. The Purchasing Department will review the submission and raise recommendation to H.H The Chairman of the Board through the Managing Director.
5. **Receipt and Acceptance**
   Policy: Control should be established over goods and services received as a basis for determining and recording the liability for goods and services received.
   General: The physical receipt of all purchased goods should be the responsibility of a Purchasing department or designated Center individuals. The receiving function should inspect goods for conformity with specifications on purchase orders. Quantities should be verified by counting, weighing, or measuring. Receipt and acceptance of a shipment should be documented on a receiving report (or on a copy of the purchase order utilized for such purpose) with copies of the receiving reports being routed to the purchasing and Finance departments.
6. **Establishment of Accounts Payable**
   Policy: All valid accounts payable transactions, and only those transactions, should be accurately recorded as accounts payable.
   General: The recording of assets or expenses and the related liability should be recorded by employees independent of the ordering and receiving functions. The amounts recorded should be based on vendor

invoices for the related goods or services. The vendor invoices should be in agreement with an approved purchase order. Furthermore, evidence or receipt or performance should be in the form of a receiving report or other approved documentation before the vendor invoice can be processed. Invoices and the related general ledger account distribution should be reviewed before recording.

7. **Return of Goods to Suppliers**
   Policy: Return of goods to suppliers should be adequately controlled, documented, and recorded.
   General: The return of goods to suppliers should be under a controlled system of procedures. These procedures should include the authorization of the return by the requisitioning Center or purchasing function, preparation of a debit memorandum by the purchasing department, recording of the debit memorandum, and follow-up with supplier to ascertain that the supplier has recognized the return of goods.
8. **Purchase Cut-Off**
   Policy: The liability for goods or services should be recorded in the same accounting period in which the goods are received or serviced are provided.
   General: At the end of accounting period, procedures should be in place to ascertain that the related liabilities for goods or services received during the accounting period are also recorded in the same accounting period.

Section XI - Notes Payable & Long-term Debt (Including guarantees & letters of credit)

1. **Financial Resource Requirements**
   Policy: Alfaisal University should establish an orderly system for anticipating financial resource requirements and analyzing the most effective means of providing for those needs.
   General: Debt, in the broadest definition of the term, is the result of borrowing funds for a specific purpose for a specific period of time. To date, this type of funding has not been used. It represents one of the two means of providing financial resources for an organization. The other provision of funding from the Founder has been the sole major source of funding, besides fees and donations.

   Short-term financing consists of debt that is expected to be repaid within the normal operating cycle of the business or within one year of the balance sheet date and can take the form of a line of credit agreement with a bank or demand notes payable.

   Long-term financing is primarily debt that will not be repaid within the normal operating cycle of the business or within one year. This financing, used for longer-term needs such as capital improvements and business expansion, will take the form of installment loans, mortgages, bonds, debentures, and capital leases.

2. **Assumption and Authorization of Debt**
   Policy: Determination of the need to assume debt should be made by Alfaisal University officials, and all debt should be appropriately authorized.
   General: The issuance of all new debt as well as the extension of any existing debt should be authorized by the Board of Trustee or as per the Delegation of Financial Authorities Policy. This authorization should be documented in the minutes of the Board of Trustee meetings in the form of a resolution. In some instances the creditor will require that a board resolution authorizing the debt be included in the executed debt agreement.
3. **Safekeeping of Debt Agreements**
   Policy: Physical control of debt instruments should be maintained.
   General: The original executed debt agreements and debt instruments should be maintained in a safe place and the existence of these instruments should be verified periodically.
4. **Record of Debt**
   Policy: All debt should be recorded in the general ledger based on the terms of the debt agreements.
   General: The issuance of any new debt or the extension of any existing debt should be accurately recorded in the general ledger based on the terms of the debt agreement that has been reviewed and approved by the Board of Trustee.

5. **Timely Interest Expense Accruals**
   Policy: Interest expense for all debt should be accrued on a timely basis.
   General: An interest accrual should be recorded at the end of each month for all debt on the general ledger.
6. **Debt Payments**
   Policy: All payments should be properly recorded in the general ledger on a timely basis.
   General: Payment on notes payable and other long-term debt made through Alfaisal University's standard disbursements system, through the transfer of funds by wire or other method should be recorded on a timely basis.
7. **Bond Discounts and Premiums**
   Policy: Bond discounts and premiums should be amortized over the term of the bonds.
   General: Bonds normally may be issued for a price that differs from the face or maturity value of the bonds. This difference will be either a premium if the sales price is in excess of the face value of the bonds or a discount if the sales price is less than the face value of the bonds. The difference must be amortized over the term of the bonds. The method used to compute the amortization is the interest method. The amortization of a premium will reduce the interest expense while the amortization of a discount will increase the interest expense.
8. **Current and Long-term Debt**
   Policy: A detailed summary of current and long-term debt, accrued interest payable, and interest expense should be prepared and reconciled to the general ledger.
   General: To ensure that all debt activity is being properly recorded on a timely basis, a detailed summary of current and long-term debt balances, accrued interest payable, and interest expense should be prepared periodically and reconciled to the general ledger. The detailed summary should be prepared from amortization schedules, statements from creditors, and internally prepared schedules of debt activity.
9. **Debt Convenants**
   Policy: All debt covenants should be reviewed periodically.
   General: In the event that there is a lack of compliance with restrictive debt covenants, a creditor could deem the borrower to be in default of the debt agreement. This in turn could give the credit cause to demand immediate repayment of the debt. With this in mind, the debt covenants should be reviewed annually (or more frequently as the covenants require) so as to determine whether all covenant restrictions have been met. If noncompliance is detected, discussions should begin immediately with the bank or other financial institution in order to avoid foreclosure or recall of the debt.
10. **Bank Guarantees & Letters of Credit**
    Policy: All Bank guarantees and letters of credit authorized by Alfaisal University should be duly prepared and monitored to minimize risk exposure.
    General: Often contracts of service and acquisition requests require a form of banker guarantee or litter of credit authorized by Alfaisal University to permit the holder to utilize based on non-compliance of the term of performance. This is a form of potential debt. These can be from Alfaisal University to another party using an agreed banker. Likewise, Alfaisal University may receive form another such documents, of referred to as performance bonds. All the previous polices for this section pertain to this type of potential debt.

Section XII - Accrued Liabilities

1. **Monitoring of Accrued Liabilities**
   Policy: Alfaisal University should establish a method of monitoring and accounting for accrued liabilities.
   General: Accrued liabilities, often referred to as accrued expenses or, more simply, accruals, are items for which a service or benefit has been received and for which the related liabilities are both acknowledged and reasonably determinable, but which are not yet payable, either because of the terms of the commitments or because invoices have not yet been received.
2. **Reconciliations and Accuracy**
   Policy: Detailed records of accrued liabilities should be reconciled regularly with the control account.
   General: Reconciliations should be performed to help ensure the accuracy of the detailed records and the control account.

3. **Accruals**
   Policy: Increase the accuracy of the financial statements by providing for accruals that are material. This is mandatory at fiscal yearend.
   General: It is an accounting principle to provide for accruals at fiscal yearend to properly record capital and expenses in the correct fiscal period. It is also common practice, particularly in larger organizations, to record significant accruals during the year, to increase the reliability of the financial performance.
4. **Commitment Accounting**
   Policy: The accounting records and reporting should be maintained so that commitments on goods and services are recorded and reported, where material and desired.
   General: The "actual" and "budget" components held in accounting systems are obviously vital information sets. However, there is a third vital information set that is available to Alfaisal University - "committed costs". Committed costs are the value of orders raised for which goods/services have not yet been received. Likewise service agreements in place for which a fixed amount or ailing amount is exists.

   Reporting committed costs provides financial information earlier than "Budget and Actual" (earlier = better), allowing management more time to make the appropriate decisions.

Section XIII - Payroll Cycle
(Also Refer to Personnel Policies & Procedures)

1. **Payroll and Human Resources**
   Policy: A system of authorized communication between the payroll section and the Human Resources department should be established and maintained.
   General: The Human Resources department maintains employee files in which employee pay history is documented and withholding authorizations are retained. Changes to standing payroll data which is processed by the payroll section, are generally initiated by the personnel/human resources department of each center (e.g., hiring of new employees, authorization for pay rate increases, etc.).
2. **Wages and Salaries**
   Policy: Payment for wages and salaries should be made only to Alfaisal University employees at authorized rates of pay.
   General: Controls should be established over standing payroll data to ensure that the payroll reflects complete and authorized standing data.
3. **Timekeeping**
   Policy: Payment for wages and salaries should be made in accordance with records of work performed.
   General: Controls should be established over the transaction data (time records, output records) to ensure that disbursements of Alfaisal University funds are for valid service performed.
4. **Payroll Calculation**
   Policy: Payments for wages and salaries should be accurately calculated.
   General: Controls should be established to ensure that the payroll, based on standing and transaction data, is accurately calculated.
5. **Payment to Alfaisal University Employees**
   Policy: Payments for wages and salaries should be made only to Alfaisal University employees and by direct bank deposit whenever possible.
   General: Controls should be established to ensure that only valid Alfaisal University employees receive payroll payments.
6. **Payroll Deductions**
   Policy: Payroll deductions should be correctly recorded and paid to the appropriate third parties on a timely basis. Also, related payroll reports to third parties should be submitted on a timely basis.
   General: Controls should be established to ensure that payroll deductions, both compulsory and voluntary, are adequately identifiable in the general ledger and that the payments to the third parties are timely and accurate.

Section XIV - Capital Projects

1. **Capital Project Close-out**
   Policy: Completion of a capital project requires careful close-out controls to ensure completion and liability issues are resolved.
   General: The final payment for goods and services pertaining to a capital project is a very significant event and requires additional controls and checks to ensure that all aspects of the contract have been completed or amended and agreed to, and warranty work is honored.

Section XV - Cash

1. **Cash Management Policies**
   Policy: Alfaisal University will manage cash to ensure that the University can meet anticipated short and long-term obligations consistent with the following policies:

   a. Liquidity policies: Alfaisal University requires sufficient liquidity in its centers to meet its operations commitments of repayment of our obligations. Liquidity requires a proper Working Capital Management to avoid to sell investments before maturity, and to record a gain or loss on the sale; Alfaisal University will match assets and liability to ensure its capabilities to have a sufficient liquidity.
   b. Operating reserves: Alfaisal University will maintain operating reserves in highly liquid investments or accounts, at a level equal to "e.g. three months" projected operating expenses, at a minimum.

   General: Effective cash flow management is vital to nonprofits; it is a key element in planning and in the efficient functioning of all aspects of operations. Effective cash management can be "profitable" in and of itself. Cash shortages result in increased costs, such as interest charges on overdraft or loans, late- payments penalties, and loss of vendor discounts for paying bills promptly. Cash flow improvements can eliminate these costs and create the opportunity for more favorable payment terms on some types of purchases. Ultimately, organization that improves the manner in which they receive and expend cash will be more successful.

2. **Cash Receipts**
   Policy: Control should be established over all cash and checks received, and they should be deposited promptly in Alfaisal University's bank accounts.
   General: Cash receipts should be protected from misappropriation. Physical access to cash receipts and cash receipt records should be limited to authorized personnel. Additionally, cash receipts should be recorded in the appropriate period.

Part II - Administrative Policies

1. **Conflict of Interest**
   Policy: Any actual or potential conflict of interest will not be tolerated & will be immediately eliminated.
   General: This policy is designed to ensure that each member of Alfaisal University's faculty and staff (hereinafter collectively referred to as the "employee") is aware of certain legal and personal responsibilities arising out of employment at Alfaisal University. The interests of Alfaisal University must be paramount to the interests of employees acting on its behalf. This policy on conflict of interests applies to all employees, so that there will be a uniform standard throughout Alfaisal University. Alfaisal University is inclusive of all Centers.
2. **Solicitations of Private Funds**
   The Public Relations (PR) Department is charged with the responsibility of overseeing all charitable gift activity for Alfaisal University. All Centers must register with this department all major gift prospects before they are solicited.
3. **Retention of Records**
   Records relating to payrolls, receipts and disbursement transactions must be retained for four years after the

current fiscal year or until audited, whichever is longer. Such records are usually maintained on inactive file for one year and in storage for three years. External agencies which sponsor grants and contracts may have additional requirements.

4. **Reporting Potential Fraud**
   Policy: Upon the discovery of circumstances suggesting a reasonable possibility that a fraudulent transaction has occurred involving funds or property, it is incumbent to notify Alfaisal University.
   General: If you are aware or suspect that a fraudulent act occurred, you should promptly advise your immediate supervisor of the situation. Your supervisor will contact the appropriate administrative officer in your school or office, who is responsible for reporting the situation to the Human Resources Department and the appropriate Law Enforcement Official. You should document your actions in a memorandum of note.

Part III - Controls for the Accounting & Administrative Systems

1. **Application Controls**
   Policy: Application controls should be applied to ensure the completeness, accuracy, and validity of data.
   General: Through a combination of both manual and programmed procedures, each application should include a series of control steps to be followed from the onset of a task through its final disposition. For example, if an account number is rejected by a programmed edit check; manual procedures should be in place to ensure follow-up, correction, and resubmission of the item in question.
2. **System & Program Implementation**
   Policy: Management should apply controls over system and program implementation to ensure that appropriate procedures are applied to application programs when new systems become operational.
   General: A well-designed system requires careful planning and coordination between users and data processing personnel. A poorly planned system may result in lack of adequate controls and user satisfaction. There should be adequate involvement by users and data processing personnel during the key stages of design, testing, implementation, and final approval of new systems. Involvement between the user and programmer in developing specifications also ensures that appropriate control features are incorporated into the application. These controls include methods such as run-to-run balancing to ensure completeness and accuracy during processing.
   Policies and procedures for the implementation of systems and programs are required so that data is complete and accurate. These standards should be communicated through a Policies and Procedures Manual (see Documentation Index (figure 2-1) for a list of items to be included). The procedures should define the duties and responsibilities of both user and data processing personnel.
3. **Program Maintenance**
   Policy: Maintenance controls should ensure that changes to programmed procedures are designed appropriately and implemented effectively.
   General: Controls over maintenance focus only on the process that should be followed for program modifications. These controls should include the handling of the request, programming, testing, the approval to move the program into the production environment, and the actual move to production.
4. **Computer Operations**
   Policy: Computer processing should be performed on a consistent basis.
   General: Computer operations controls ensure that authorized programmed procedures are consistently applied, that correct data files are used, and that processing can be properly resumed in the event of system failures.
5. **Security**
   Policy: Access to information stored on a computer should be restricted.
   General: Management should identify and classify computerized resources (data, Programs, hardware, etc.) And protect them with a well-organized combination of software and manual procedures. Security software provides the ability to restrict access to the system at various levels: system, application, application function, data file, and data element. Adequate security features may be available in the operating system, specialized access security software, or within individual application packages. The latter is usually not as desirable in that it is not always applicable to the entire data processing environment.

6. **Internet Usage**
   Policy: Management should apply controls over proper use of Internet.
   General: Alfaisal University provides access to the vast information resources of the Internet to help employees do their job faster and smarter, and be well-informed business citizen. The facilities to provide that access represent a considerable commitment of Alfaisal University resources for telecommunications, networking, software, storage, etc. This Internet usage guidelines is designed to help the user understand the expectations for the use of those resources in the particular conditions of the Internet, and to help users use those resources wisely.

Graduate School

Graduate Student Handbook -GS005 and Graduate Catalog -GS006

Graduate Student Handbook

Graduate Catalog

Policy & Procedures for Financial Support of PhD Students' Research Supplies -GS001

Policy Code
GS001
Approval Date
Wed, 09/17/2025 - 12:00
Policy Purpose
1. Purpose and Scope

This policy provides a framework for financial support of PhD students' research supplies to ensure successful completion of dissertation projects while maintaining accountability and alignment with institutional priorities. Support covers consumables, specialized reagents, small equipment, and services essential to the approved project. Each PhD student is eligible for up to SAR 150,000 over the duration of the program, disbursed in phases and tied to academic and research milestones.

2. Process for Support of Research Funds

- *Preliminary Research Support (Pre-Defense)*: Up to SAR 50,000 may be requested to generate preliminary data for proposal defense. Eligible costs include limited supplies, core facility fees, and small-scale experiments. Applications must include a short 3-page concept paper with objectives, methods, and budget, endorsed by the supervisor and PhD Program Director. Final approval is by the *Office of Research and Innovation (ORI).*
- *Full Research Grant (Post- Proposal Defense):* After successful proposal defense, students may apply for a standard ***Internal Research Grant (IRG)*** covering the balance of the allocation (up to SAR 150,000 including any preliminary support). Applications must include the approved proposal and detailed budget. Endorsements are required by the supervisor of the proposal defense. Final approval rests with *ORI* and the *Vice President for Graduate Studies, Research & Innovation.*

3. Eligible and Ineligible Expenses

- *Eligible:* reagents, kits, cell culture supplies, access to core facilities, small essential equipment, and data acquisition/analysis services.

- *Ineligible:* personal stipends, conference trips, office supplies, laptops, or unrelated expenses.

4. Application Process and Accountability

- *Preliminary Support*: Submit a 3-page concept paper (objectives, methods, budget) endorsed by supervisor and Program Director; & with approval by ORI.
- *Full Grant*: Submit approved proposal and IRG with budget; endorsed by supervisor; final approval by ORI and VP Graduate Studies, Research & Innovation.
- *Financial Management:* Funds are managed centrally by ORI. Procurement requests require supervisor approval and follow university finance and purchasing procedures.
- *Annual Progress and Expenditure Reports*: must be submitted to ORI for continued disbursement.

5. Oversight

This policy will be reviewed every three years by ORI and t

Policies & Procedures for Alfaisal University Employees Applying for PhD Program Scholarships -GS002

Policy Code
GS002
Approval Date
Fri, 07/05/2024 - 12:00

Objective:

Alfaisal University aims to foster a culture of continuous learning and academic excellence among its employees by offering PhD program scholarships.

Eligibility:

All employees of Alfaisal University are eligible to apply for a scholarship, with a maximum of one applicant per department every two years. Applicants must have a minimum of two years of service at the university and hold a master's degree. Additionally, applicants must have at least one paper published in a reputable journal.

Options:

Applicants can choose from one of the following scholarship options that best suits their needs and career aspirations:

1. Full Scholarship:
    - This option provides a full scholarship for the employee's PhD program for a duration of four years.
    - In return, the employee must commit to working for Alfaisal University for a period of 4 years after completing the PhD program.
    - A full scholarship covers tuition fees of 100K SAR per year for 4 years. The student also receives a monthly salary as a Research Assistant
2. Partial Scholarship:
    - Under this option, the employee will receive a 50% scholarship for their PhD program.
    - In exchange, the employee commits to working for the Alfaisal University for a period of 2 years after completing the PhD program.
    - A partial scholarship covers 50 % of tuition fees (i.e., 50K SAR per year) for 4 years. The student also receives a monthly salary as a Research Assistant

Terms and Conditions:

1. A maximum of one PhD scholarship per department may be awarded to eligible university employees every two years.
2. Applicants must fulfill the admission criteria set by the university.
3. The first year of a PhD program is a conditional year. A student must pass a qualifying exam (i.e., research proposal defense) at the end of the first year to be admited as a regular PhD student in the program.
4. To take up a scholarship, an applicant must resign from their position at Alfaisal after completing the first year and will be rehired as a Research Assistant.
5. For legal paperwork purposes, a minimum of 2 months period must be given after resignation to be rehired.
6. The scholarship covers tuition fees (i.e., 100% or 50% depending on the option chosen) for the duration of the PhD program.
7. A doctoral student will receive a monthly salary as a Research Assistant according to the salary structure.
8. A Research Assistant will assist a faculty member in their research, in addition to doing their PhD research.
9. The employee must maintain satisfactory academic progress throughout the duration of the PhD program.
10. If the student fails or drops out of the program, they will be required to reimburse the university for all the fees covered during their period of study.

Thesis & Dissertation Manual -GS003

Policy Code

GS003

Program Overview

Writing a dissertation or thesis is a time-consuming but rewarding experience. To guide you through manuscript preparation and to help you create a uniform and visually clear document, the Office of Research & Graduate Studies has developed the Thesis & Dissertation Manual. It is a guide to Alfaisal University's specific style requirements, providing examples of what is required to receive approval from the Office of Research & Graduate Studies.

Do not wait to review the Thesis & Dissertation Manual until the semester you anticipate graduating or when you have already scheduled a defense date. Visit the Thesis & Dissertation Manual early and often during the writing process. It is highly recommended that you print a copy of the Thesis & Dissertation Manual.

If questions arise while you are working on your thesis or dissertation that are not answered in the Thesis & Dissertation Manual, please contact the Office of Research & Graduate Studies.

It sets forth definitions, policies, and procedures for approval, processing, budgeting, and accounting for research funded from internal and external sources as well as ethical practices.

Important Note

Alfaisal University requires that you make your research accessible to the academic community at large. This is effected by publishing your dissertation/thesis through ProQuest and making it available through both ProQuest and Alfaisal University Library. Further, your dissertation/thesis may be accessed via various internet search engines, such as Google.

Again, making your research accessible to the academic community at large is a condition of Alfaisal University's awarding research doctorates and master's degrees to those completing a degree that requires a dissertation/ thesis as a culminating experience. Therefore, permanent and temporary embargoes and abstract-only publication are disallowed.

Style Manual

An essential reference tool when writing a dissertation or thesis is a department-approved professional style manual. You must consult a style manual recognized by a professional society in your field.

To determine which professional style manual is appropriate for your discipline, consult with your advisor. Common manuals include those published by the **American Psychological Association (APA)**, **the Modern Language Association (MLA)**, and **the University of Chicago Press**.

To learn more visit the Thesis and Dissertation Office website: Click Here

For more information or clarification please contact:

College of Medicine	College of Engineering
Ismail Shakir	Rayed Althobiti
Email Us	Email Us

Proquest Student Electronic Submission Process Tutorial Video	
Step 1: The Submission Process Introduction	Step 8: PDF
Step 2: Creating an Account	Step 9: Supplemental Files
Step 3: The Tabs	Step 10: Copyright Registration
Step 4: Instruction Page	Step 11: Order Copies
Step 5: Publishing Options	Step 12: Submit
Step 6: Contact information	Step 13: PDF Conversion Tool
Step 7: Details	Step 14: Revisions

Thesis & Dissertation Manual

Policies & Procedures for Paying PhD Students with Stipend Support -GS004

Policy Code

GS004

Approval Date

Wed, 01/01/2025 - 12:00

1. **Scope & Objectives**
   - The purpose of this policy is to provide a structured process for formally engaging PhD students, who have already been admitted to the PhD program with a tuition waiver and monthly stipend, as Research Assistants (RAs) under HR contracts. This arrangement ensures that:
   - Students receive their monthly stipend in compliance with university payroll practices.
   - Students are covered under the university's medical insurance policy.
   - HR has clear documentation of contractual status, while maintaining their primary role as PhD candidates.
2. **Eligibility**
   - Must be officially admitted to the PhD program at Alfaisal University, College of Medicine.
   - Must hold a valid university admission letter confirming full tuition waiver and stipend eligibility.
   - Must be enrolled full-time and in good academic standing.
3. **Contractual Engagement**
   - Position Title: Graduate Research Assistant (PhD Student).
   - Grade: Research Assistant Grade (aligned with internal HR scale, proposed Grade 5 or 6).
   - Contract Type:

    - One-year renewable contract, aligned with PhD program duration.
    - Renewal is contingent upon academic progress and faculty supervisor recommendation.
  - Supervisor: Reports directly to PhD supervisor and Vice Dean of Research and Graduate Studies COM.
4. **Financial Package**
   - Monthly Stipend: SAR 10,000 (as per approved PhD program support).
   - Medical Insurance: Provided as per University HR policy for staff.
   - Other Benefits:
     - Not eligible for housing, schooling, or air ticket allowances (as this is not an employment position but student support).
     - Annual leave follows the PhD academic calendar; additional leave requests must be approved by the supervisor and Graduate Studies Office.
5. **Roles & Responsibilities**
   PhD students under this policy will:
   - Contribute to research activities within their supervisor's projects and the College's research agenda.
   - Maintain satisfactory academic progress toward their PhD degree.
   - Submit annual progress reports endorsed by their supervisor.
6. **Process Flow**
   - Admission Confirmation: Graduate Studies School provides HR with the official list of admitted PhD students under stipend support and COM generates the eform request for Graduate Research positions.
   - Contract Preparation: HR issues Graduate Research Assistant contracts based on admission letters and eforms requests generated by the college
   - Stipend Processing: Payroll disburses the monthly stipend through HR systems.
   - Medical Insurance Enrollment: HR enrolls students in the University medical insurance scheme.
   - Annual Review: College Vice Dean for Research and Graduate Studies confirm satisfactory progress for contract renewal.
7. **Governance & Oversight**
   - The Graduate Studies School oversees implementation of this policy.
   - HR ensures compliance with labor regulations and university policies.
   - Any changes in stipend amount or benefits must be approved by the University Council.

Policies & Guidelines for PhD Student Assistants in Research & Teaching -GS007

Policy Code
GS007
Approval Date
Tue, 02/20/2024 - 12:00

Executive Summary

In line with the commitment to supporting the academic and professional development of graduate students, this policy outlines the responsibilities, role requirements, and benefits associated with these positions. Offering Graduate Assistantships (GA) (i.e., Research Assistant (RA) or Teaching Assistant (TA)) to primarily international Ph.D. students will bring benefits to Alfaisal University. Doctoral programs and GA positions will be open to both international and national student applicants. Post-doc hiring will be occurring at the same time so that they can assist the doctoral students. Assistantships will aid in increasing the number of PhD students that graduate which is one of the five initiatives to Improve Ranking Performance to be in Top 200 Universities Globally by 2030. RAs will also help to foster a vibrant academic environment by facilitating scholarly output, enhancing the institutions reputation as a hub of innovative thinking and cutting-edge research. Similarly, TAs will aid in maintaining high educational standards leading to better learning outcomes and, in turn, bolstering the university's standing. The Graduate School will screen applicants, but the Colleges will decide. Faculty will not need to train students on new

techniques since they will be carefully selected and will have previous publishing experience. This will allow the GAs to better help faculty with their research. In the Biomedical Sciences PhD Program, for example graduate students will have two summer lab training courses in specific areas.

To be eligible for a Graduate Assistant position (i.e., Research Assistant (RA) or Teaching Assistant (TA)), doctoral students must be enrolled full-time in a doctoral program at Alfaisal University and maintain a minimum GPA of 3.5 out of 4.0. RAs are expected to contribute actively to ongoing research projects including laboratory sessions within their field of study. TAs are expected to assist faculty members in conducting tutorials, and laboratory sessions. GAs will receive a competitive monthly stipend commensurate with their level of experience and academic standing. At Alfaisal GAs are eligible for a tuition waiver covering 100% of their tuition fees as well as Visa costs. In addition, they are eligible for health insurance coverage through Alfaisal University's health plan. The policy is chiefly targeted at attracting international doctoral students. The hiring of Research Assistants using external funding does not form part of this strategy.

GAs will be appointed based on a 12-month contract with a 35/hour work commitment per week. They will undergo regular evaluations conducted by supervising faculty members. Graduate students who have been offered a GA position at Alfaisal University must not hold other employment commitments outside Alfaisal University.

1. Introduction

Alfaisal University recognizes the valuable contributions made by doctoral students through their roles as Graduate Assistants (GAs). In line with the commitment to supporting the academic and professional development of graduate students, this policy outlines the responsibilities, role requirements, and benefits associated with these positions.

Graduate Assistants are full-time graduate students at the doctoral level who participate in research or teaching activities in exchange for financial support from the University. Graduate Assistants fall into two categories: Research Assistants (RAs) and Teaching Assistants (TAs). Doctoral programs and GA positions will be open to both international and national student applicants. Post-doc hiring will be occurring at the same time so that they can assist the doctoral students. The hiring of Research Assistants using external funding does not form part of this strategy. The Graduate School will screen applicants, but the Colleges will decide. Faculty will not need to train students on new techniques since they will be carefully selected and will have previous publishing experience. This will allow the GAs to better help faculty with their research. In the Biomedical Sciences PhD Program, for example graduate students will have two summer lab training courses in specific areas.

Assistantships may be awarded to graduate students who, based on their credentials, are deemed likely to be highly successful as students and are assessed as highly capable of contributing to research or teaching. Assistantships contribute to student professional development with the primary purpose of assisting students in the successful completion of their academic program. Activities incorporated in the work of a Graduate Assistant should therefore be relevant to the student's program of study as well as contributing to the University's research or teaching activities.

2. Benefits & Scope

Offering Graduate Assistantships to Ph.D. students brings benefits to Alfaisal University:

- It will aid in graduating PhD students which is one of the major initiatives to Improve Ranking Performance to be in Top 200 Universities Globally by 2030
- It fosters a vibrant academic environment by facilitating scholarly output, enhancing its reputation as a hub of innovative thinking and cutting-edge research. Similarly, teaching assistantships maintain high educational standards leading to better learning outcomes and, in turn, bolstering the university's standing.
- Top-tier international graduate students will be attracted due to financial support allowing the institution to select from a diverse pool of exceptionally qualified individuals. This in turn elevates the overall quality of research and teaching within the university.

- Research assistantships enable faculty members to involve students in their research projects, fostering mentorship and encouraging collaborative inquiry. Teaching assistantships allow faculty to delegate responsibilities, thereby providing mentorship opportunities for the next generation of educators.
- Ph.D. students who receive support and guidance during their studies are more likely to complete their programs successfully. This increases the number of qualified graduates, adding to Alfaisal University's alumni network and enhancing its reputation in academic and professional circles.
- Post-doc hiring will be occurring at the same time so that they can assist the doctoral students.
- By nurturing and supporting Ph.D. students, the University will play a vital role in shaping the future, both academically and societally, thereby helping to fulfill the institutions mission as a center of knowledge, performance, and innovation.

Skills learned in assistantships prepare students not only for the academic success, but also for corporate, government, and nonprofit organizations. Assistantships also provide graduate students with the financial resources necessary to pursue their degrees. This financial support in the form of stipends, tuition remission, and benefits, is part of Alfaisal University's commitment to the success of graduate students.

3. Eligibility

Suitability was benchmarked with a regional university (Table 1). Doctoral programs and Graduate Assistant (GA) positions will be open to both international and national student applicants. The policy however is chiefly targeted at attracting international students. To be eligible for a GA position, doctoral students must:

- Be enrolled full-time in a doctoral program at Alfaisal University.
- Maintain a minimum GPA of 3.5 out of 4.0.
- Demonstrate expertise and competence in their respective fields.
- For TA – applicants must possess effective communication and interpersonal skills.
- For RA – applicants must possess skills and qualifications relevant to research.

The hiring of Research Assistants using external funding does not form part of this strategy.

Table 1. Benchmarking of Graduate Assistantships with Regional Assistantship:

University	Benchmark
United Arab Emirates University (UAEU)	Eligibility for and requirements of Graduate Assistantships: (i) Candidates who are first-time graduate students should have a minimum cumulative GPA of 3.0 on a scale of 4.0 or equivalent, in the bachelor's degree. (ii) Other candidates should carry a minimum of 6 earned graduate credits and must have a minimum cumulative GPA of 3.0 (on a scale of 4.0) or equivalent in their graduate studies.

4. Roles & Responsibilities

4.1. Research Assistants

PhD student Research Assistants (RAs) will help faculty with their investigations. Post-doc hiring will be occurring at the same time so that they can assist the doctoral students. Research Assistants will be appointed based on a 12-month contract with a 35/hour work commitment per week. They will undergo regular evaluations conducted by supervising faculty members. Graduate students who have been offered such a position must not hold any other employment commitments outside

Alfaisal University. RAs are expected to:

- Contribute actively to ongoing research projects including laboratory sessions within their field of study.
- Conduct literature reviews, collect and analyze data, and assist faculty members in research-related tasks.
- Collaborate with research teams and participate in academic discussions.
- Assist in writing research papers, reports, and articles based on the findings of the research.

- Be involved in the submission process to conferences and journals.
- Assist in preparing grant and/or patent applications.
- Maintain highest standards of confidentiality and integrity in all research- related activities and abide by Alfaisal University rules and regulations.
- Have no other employment inside or outside Alfaisal University
- Work 35 hours per week, consisting of 20 hours committed to research-related tasks of faculty & 15 hours for the student's graduate research.
- Register for credit hours per planned curriculum per semester.
- Maintain good academic standing.

Table 2. Benchmarking of GA and RA Workloads and Duties

University	Workloads	Duties
Qatar University	GA Workload	RA: 35 hours per week with 20 hours committed to research related tasks that support the research output of faculty & 15 hours reserved for student's graduate research
University of Maryland	GA Workload	Time Commitment: For RAs, the 20-hour average should include the time spent in library and/or laboratory, and on all other research tasks helping the assigned project
UIC - University of Illinois Chicago	RA Duties	Duties may include – but are not limited to, the following examples of applying and mastering research concepts, practices, or methods of scholarship: conducting experiments; organizing and analyzing data; presenting findings; collaborating with other in preparing publications.
University of Maryland	RA Duties	The specific duties of Graduate Research Assistants (RAs) vary according to the nature of the research project in which they participate and the source of the funding. RAs may occasionally be asked to conduct some work at home or to do their research at times when classes are not officially in session.

4.2. Teaching Assistants

PhD student Teaching Assistants (TAs) will help faculty with their teaching and course work duties to help lessen the workload. Post-doc hiring will be occurring at the same time so that they can assist the doctoral students as well as faculty. Teaching Assistant duties were benchmarked (Table 3). TAs are expected to:

- Assist faculty members in conducting lectures, tutorials, and laboratory sessions.
- Provide guidance and support to students, facilitate discussions, and answer queries related to the course material.
- Assist in grading assignments, quizzes, and examinations, ensuring fairness and consistency.
- Attend regular meetings with faculty to discuss teaching strategies and student progress.
- Hold office hours to provide additional help and support to students.
- Communicate course related information to students, including announcements, deadlines, and schedule changes.
- Uphold academic integrity and report any instances of plagiarism or cheating, maintaining Alfaisal University's commitment to ethical standards.

Table 3. Benchmarking of Teaching Assistant Duties

University	Duties
UIC - University of Illinois Chicago	Duties may include – but are not limited to, duties primarily in support of instruction and educational services such as: leading discussions, leading class discussions, holding lectures; design of course material; exam preparation; proctoring and grading assignments and exams; holding office hours; and/or any other educational activity provided.
University of Maryland	The specific duties of Graduate Teaching Assistants (TAs) vary across disciplines and departments. For most teaching assistants, however, assignments and responsibilities fall into four categories: • Assuming teaching responsibility for a laboratory or discussion session of a course. • Assuming teaching responsibility for a classroom section of a multi-sectional course, under the close supervision of the director(s) of the course.

University	Duties
	• Assisting a faculty member in the grading, advising, and administrative duties necessary for a course(s). • Assisting in general departmental administrative duties, such as advising or the administration of community programs, workshops

5. Benefits

5.1. Financial Compensation

Graduate Assistants will receive a competitive monthly stipend commensurate with their level of experience and academic standing. See benchmarking (Table 4). Stipend amounts may be subject to periodic review and adjustments with compensation consisting of:

- Basic monthly stipend
- One-month paid summer leave.
- Transportation allowance
- Housing allowance
- Payment of Visa fees for international students
- Annual round-trip ticket allowance for the GA

Table 4. Benchmarking of Financial Compensation

Role	Compensation
Kaust	Research Fellow Annual stipend of 75,000 USD, accommodation, schooling, and other benefit -plus an annual research budget of us to 45,000 USD
KFUPM	• Basic salary • Two-month paid summer leave. • Teaching allowance of 25% of basic salary • 'Dearness allowance' (from 25% to 40%) for all science, engineering, and business disciplines • Transportation allowance • Research compensation for participation in funded project & producing quality publication. • Conference attendance funding (up to 3 conferences annually) • Discounted tuition for children at KFUPM

5.2. Tuition Waivers

Benchmarking of Tuition Waivers was done with regional and international universities (Table 5). At Alfaisal GAs are eligible for a tuition waiver covering 100% of their tuition fees. Students are responsible for any remaining tuition costs and other fees not covered by the waiver.

Table 5. Benchmarking of Tuition Waivers

University	Tuition Wavers
Qatar University	50% of tuition fees connected to the program study plan
University of Maryland	Graduate Assistants on a full-time appointment (20 hours per week) are eligible for 10 credits of tuition remission in the Fall and Spring semesters and 6 credits in Winter Term. GAs on a half-time appointment (10 hours per week) are eligible for 5 credits of tuition remission in the Fall and Spring semesters and 3 credits in Winter Term. GAs on a full-time 12- month appointment are also eligible for up to 8 credits of tuition remission during Summer; and GAs on a half-time 12-month appointment are eligible for up to 4 credits during Summer

5.3. Professional Development

Graduate Assistants will have access to professional development opportunities, including workshops, seminars, and conferences relevant to their research and teaching interests.

5.4 Health Insurance & Visa Costs

GAs are eligible for health insurance coverage through Alfaisal University's health plan, and Visa costs. See benchmarking in Table 6.

Table 6. Benchmarking of Health Insurance Coverage for Graduate Assistants

Role	Insurance Coverage
KUFPM	Health Insurance: Healthcare at KFUPM clinics and hospitals
UAEU	Medical insurance: The University provides medical insurance for Graduate Assistants if they do not have coverage already, and pays them a monthly stipend, which is stipulated in the award of the Assistantship.

6. Duration of Appointment

Graduate Assistants (GA) will be appointed based on a 12-month contract with a 35/hour work commitment per week. See benchmarking in Table 7. The maximum duration of a full-time GA appointment is limited to the normal length of time for completing the degree; in most cases, the normal length of time is not to exceed four years for a PhD student based on performance evaluations and the availability of funding.

Table 7. Benchmarking of Graduate Assistant Appointment Duration

University	Appointment Duration
Qatar University	Appointed as full-time employees based on a 12-month contract with a 35/hour work commitment per week. The maximum duration of a full-time Graduate Assistant appointment is limited to the normal length of time for completing the degree; in most cases, the normal length of time is not to exceed two years for a master's degree student and four years for a PhD student.
University of Maryland	Most Graduate Assistants are appointed either for a regular academic year (9.5 months) or for 12 months. Some appointments may be for a shorter period. The academic-year appointment begins in mid-August and ends in May. Students may be reappointed one or more times at the discretion of the department in which they serve
UAEU	Graduate Assistantships are awarded for a period of one year or less and may be renewed, provided the recipient continues to meet the eligibility criteria of the award and has received good performance appraisal from the supervisor.

7. Supervision & Evaluation

Graduate Assistants will undergo regular evaluations conducted by supervising faculty members. See benchmarking in Table 8. Constructive feedback will be provided to help students enhance their research and teaching skills. The Graduate School is responsible for determining procedures for review and evaluation of GAs and for informing the colleges of these procedures:

- The process of evaluation must include written assessment of work by an individual faculty member, classroom visitation by designated faculty members, and written student evaluations.
- Results of reviews and evaluations should be discussed with the Graduate School.
- The duties of GAs are performed under the close direction and supervision of a member of the faculty. Prior to the start of the assistantship, the supervising faculty member and the GA will meet to review and confirm expectations including a summary of the nature of required duties.
- Each GA should have a specific 'Contract' and Job Description, and a clear reporting line within the college.
- The supervisor is expected to provide the GA with periodic oral and written assessment and feedback regarding performance.

Table 8. Benchmarking of Graduate Assistant (GA) Supervision and Evaluation

University	Role	Supervision and Evaluation
Qatar University	GAs	Serve under the direction and supervision of an appointed faculty member
University of Maryland	GA Performance Review	Each department is responsible for determining procedures for review and performance evaluation of Graduate Assistants and for informing GAs of these procedures. review The process of evaluation will vary by departments and may include written assessment of work by an individual faculty member, classroom visitation by designated faculty members, and written student evaluations. The results of reviews and evaluations should be discussed with the GA concerned. The duties of RAs are performed under the close direction and supervision of a member of the faculty. Prior to the start of the assistantship, the supervising faculty member and the RA will meet to review and confirm expectations including a summary of the nature of required duties
UAEU	Supervisor	Each Assistant should have a specific 'Contract' and Job Description, and a clear reporting line within the Department/ Unit. The supervisor is expected to provide the Graduate Assistant with periodic oral and written assessment and feedback regarding performance.

8. Maintaining Graduate Assistant Position

Benchmarking on maintaining a Graduate Assistant (GA) position was performed with a regional university (Table 9). Graduate students who have been offered a GA position at Alfaisal University must satisfy the following:

- Maintain a minimum GPA of 3.5 out of 4.0.
- Hold no other employment commitments outside Alfaisal University.
- Maintain positive evaluation from the supervisor in accordance with duties.

Table 9. Benchmarking on Maintaining a Graduate Assistant Position

University	Standards
Qatar	• Maintain a minimum GPA of 3.0 • Not hold any other employment commitments • Maintain a positive evaluation from the supervisor in accordance with the GA duties assigned upon acceptance of the position

9. Application Procedures

The application procedures for a Graduate Assistantship (GA), whether for a Research Assistantship (RA) or Teaching Assistantship (TA) position, in Alfaisal University's Ph.D. programs requires the following documentation:

- Cover Letter
- Resume or Curriculum Vitae (CV)
- Transcripts
- Three (3) Letters of Recommendations
- Statement of Purpose
- Research Sample

The Graduate School will screen applicants, but the Colleges will decide. Faculty will not need to train students on new techniques since they will be carefully selected and will have previous publishing experience. This will allow the GAs to better help faculty with their research. In the Biomedical Sciences PhD Program, for example graduate students will have two summer lab training courses in specific areas.

The application should be submitted to the Office of Graduate Studies.

Human Resources Department

Academic Hiring Policies & Procedures -HR001

Policy Code
HR001
Approval Date
Mon, 05/12/2025 - 12:00

1. Introduction

The Academic Hiring Policies & Procedures manual provides a comprehensive overview of the policies and procedures to be followed by Alfaisal University when recruiting and hiring academic personnel. It is based on “A Proposal for Hiring for Academic Posts: Policy and Forms 2016”. Alfaisal University recognizes the pivotal role played by faculty members, researchers, and other academic staff in shaping the educational experience and driving scholarly advancements. Alfaisal University is committed to ensuring a fair, transparent, and rigorous hiring process that attracts the best talent and upholds Alfaisal core values, seek diversity, provide equal opportunities for all qualified candidates, and meet the requirements of Alfaisal University’s vision and mission. The University hiring efforts are in accordance with the Kingdom’s standing labor and academic laws and practices.

The manual aims to provide clarity and transparency regarding Alfaisal University expectations, requirements, and evaluation criteria. All stakeholders involved in the hiring process are encouraged to familiarize themselves with the information presented in this document, as it will serve as a valuable resource for ensuring compliance with Alfaisal’s established policies. By adhering to these policies and procedures, the university aims to attract exceptional candidates who share its commitment to academic excellence, research, and the dissemination of knowledge.

2. Policy Objectives & Scope

All academic hiring should be closely aligned with the objectives of Alfaisal University the eight research themes, the national goals of the country, and should ultimately contribute to the university's plan of achieving a position among the top 200 globally. It is vital to not only consider candidates qualifications and experience but also their potential to advance the university's strategic vision and share Alfaisal's commitment to excellence in education, research, and innovation to further strengthen the university's position as a leading educational institution. Additionally, selecting candidates who can contribute to the country's broader goals, such as fostering economic growth, advancing scientific research, and promoting societal development, will ensure that Alfaisal University plays a significant role in driving progress at both the national and global levels.

The scope of the policy is limited to hiring full-time, adjunct, and visiting academic faculty including:

- Professors at all ranks.
- Lecturers and Senior Lecturers
- Instructors
- Post-Docs
- Technicians
- Adjuncts/Clinicians in hospitals who teaches for the College of Medicine and College of Pharmacy are exempted from this policy (the *exemption is limited to adjuncts/clinicians who teach within hospitals and does not extend to those who teach exclusively at Alfaisal University*)

The general qualifications and descriptions of these posts shall follow the University’s Faculty Handbook, section 2.1 “Classifications of Faculty and Academic Staff”. The policy is not concerned with administrative staff that are directly processed by the Human Resources Department. Promotion to professorship ranks is also beyond the scope of this policy and are handled as per Faculty Promotion Regulations & Guidelines.

All Alfaisal University hiring deliberations, meeting minutes and files are confidential. Access for those not involved in hiring process requires the President's direct and documented approval. Meanwhile, best practices should be applied in maintaining the privacy of all candidate files. This extends to both paper-based and electronic handlings of all documents.

3. Alignment with Ministry of Education Policies

The Academic Hiring Policies & Procedures are aligned with the policies set forth by the Ministry of Education (MoE). For professorial ranks, the Ministry of Education mandates that universities provide documented and signed deliberations and decisions of the Department, College, Scientific, and University Councils. For non-professorial ranks, the MoE mandates that universities provide documented and signed deliberations and decisions of the Department, College, and University Councils. Per MoE policy, Committee and/or Council decisions are approved upon majority vote. Where votes are equally divided, the decision sides with the vote of the Committee/Council Chair.

Alfaisal will regularly review and update its Academic Hiring Policies & Procedures to reflect any changes or updates made by the Ministry of Education. This commitment to alignment ensures that Alfaisal University is up to date with the latest guidelines, regulations, and best practices in the field of academic hiring in Kingdom of Saudi Arabia. Through this alignment, Alfaisal University aims to contribute to the overall advancement of higher education in the Kingdom by cultivating a highly qualified and diverse academic workforce, elevating the quality of education and research, and contributing to the development of a knowledgeable and skilled society.

4. Process Overview

The process consists of five phases; Establishing the Need to Hire; Advertisement and Application; Selection Process; Offer; and Final Hiring Procedure. See Appendix 5.1 *Flow Chart of Alfaisal University Hiring Process.* In the Appendix details can also be found on the UHC-Academic Position Requisition Form (UHC-APRF), UHC-Manpower Plan (UHC-MP), UHC-Candidate Interview Summary (UHC-CIS), Search Committee Ranking Sheet (UHC-SCRS), and letters to unsuccessful candidates.

4.1 Phase I: Establishing Need to Hire & Roles of HoD, Dean, President & University Hiring Committee.

The Head of Department (HoD), either proactively or at the Dean's solicitation, shall establish the department's needs for the next academic year and prepare a Manpower Plan (UHC-MP) and an Academic Position Requisition Form (UHC- APRF). The need may be established in case of departure, increase of enrollment, and new tracks/ programs.

It is prudent for HoD to devise contingency plans in case a hire is not approved or found in due time. The Dean should verify the need for hire based on the HoD's input and the approval of the College Council before presenting it to the UHC and President's office. The Dean's consideration for the new hire shall verify the teaching load assignment and the budgetary needs for hire. Load distribution in the MP must be verified as per Alfaisal University standing policies/contracts and consistent with the College's approved mandate (e.g., program study plans). Once these verifications are complete, the Dean shall forward the request to the University Hiring Committee for review. The forwarding shall be made towards the end of **September or beginning of October**. When more than one post is to be forwarded to the UHC, the Dean may aggregate the advertisement statements into one. The UHC will review the APRF and MP and share its recommendation with the President for approval.

The UHC must review the manpower plan along with the pre-requisition form before approving hires and posting job advertisements. The subsequent phase (Advertisement and Receipt of Applications) should only commence after the approval of the college requisition(s).

Phase I is crucial to ensure the hire is aligned with the University's vision and mission, and for granting final approval on the budget associated with the position and its advertisements by the President. In a standard hiring cycle, the UHC-MP and UHC-APRF must be approved by December 1st each year.

Delete this "The President's mandate is to verify the hire's alignment with the University's vision and mission, as well as yield the final approval on the budget required for the post and the advertisements. In a normal hiring cycle, the President's approval for the UHC-MP and UHC-APRF must be granted before the **1st of December** of each year."

4.2 Phase II: Advertisement and Receipt of Applications

The IT Department in coordination with College/HR must promptly generate an application portal to receive job applications. As a way of initial screening, the application portal shall not accept applications where the required documents have not been uploaded, or the candidate doesn't meet the minimum requirements for the position. The Head of Department is to provide the following items:

- Advertisement statement & venues
- In the advertisement statement, it should indicate the following required documents as applicable:
  - Curriculum Vitae (CV)
  - Teaching Statement
  - Teaching Evaluations
  - Research Statement
  - Promotion Letters (for professorial ranks higher than assistant)
  - Reference Letters *if applicable*
  - Scan copy of degree and transcripts (BS, MS, and/or Ph.D.)
  - Any additional documents required by the College
- Deadline for applications

College/HR must submit the job ad to the UHC who must advertise in the following venues:

- Chronicles of Higher Education.
- Higher Education Jobs.

College/HR may advertise in the following venues:

- Alfaisal University's Social Media Platforms (LinkedIn, Twitter, Instagram, etc.)
- Any other general academic venues or specialized venues recommended by the College

Advertisements should be posted no later than the **end of the second week of December**. In addition to the statements provided by the College, an advertisement must indicate application portal and deadline. Full job details and requirements are expected to be provided at least on the application portal. In a normal hiring cycle, evaluation of applications would **start mid-January of each year**. The application portal, however, would continue to receive applications until the position is filled.

4.3 Phase III: Selection Process

The Search Committee (SC) should perform an initial screening of the submitted applications in a documented manner. An application may be screened for the following reasons.

- Applicants not meeting the minimum position requirements.
- Involvement in activities deemed non-condonable by local customs.
- Degrees expected to be denied based on MoE's specifications, e.g., unrecognized universities, or PhDs attained online.

4.3.1 Role of Department/College Search Committee

The Search Committee (SC) at the department or College level is an ad-hoc committee created at the Dean's discretion, and which recommendations are non-binding to the Dean. All SC activity must be logged, and signed

minutes must be generated for its meetings and decisions. All SC activity must be logged, and signed minutes must be generated for its meetings and decisions. The SC applies this policy's Confidentiality and Privacy clause. The SC structure should include *at least* three members including the following:

- HoD of the hiring department or their representative as SC Chair
- A faculty member from within the hiring department
- A faculty member from another department within the same College.

The SC proceeds as follows:

- Review files and logs retrieved from the Job Portal.
- Distribute non-screened files to committee members for review.
- Call for an initial meeting to generate a shortlist of candidates.
- Schedule and conduct interviews.
- Applicants obtaining degree from non-English speaking countries must provide IELTS certificate of a score ≥ 6.5.

Once the shortlisted applicants have been identified, the SC proceeds with arranging for interviews, completing the Candidate Interview Summary (UHC-CIS) and Search Committee Ranking Sheet (UHC-SCRS), and produce SC meeting minutes. In considering years of experience, the SC should always weigh the number of years against the quality of experience.

4.3.2 Interviews

The main objective of an interview is to ascertain whether a candidate's presentation and communication matches those described in their documents. Moreover, the SC needs to ascertain that the candidate is a reasonable fit for the description and/or role of the post. The SC is responsible for contacting the candidates and scheduling interviews. **SC members must be present for all interviews and individually complete the UHC-CIS and UHC-SCRS**. Other faculty members may join, but they must maintain confidentiality and privacy considerations of the interview.

Ideally, a candidate is to be personally interviewed if the budget allows and asked to offer a public presentation and/or a sample class. Feedback from non-committee faculty members and/or students on such events may be solicited and amended to the file. **Candidates within proximity to Riyadh must be interviewed in person**. If a personal interview is not possible, interview via video conferencing is the next best alternative. A reasonable room with good communication facilities must be chosen to conduct the interview.

SC members are to take the Candidate Interview Summary (UHC-CIS) and Search Committee Ranking Sheet (UHC-SCRS) document*s* as a basis for the interview. The Chair should be prepared to respond the candidates queries about all aspects relevant to the post. The conclusion of an interview is a completed UHC-CIS form signed by all SC members. Any further deliberations or communications are made between the SC and the candidate must be documented (e.g., for elaborations on matters raised in the interview).

Once all shortlisted candidates have been interviewed, the SC holds a final summary meeting for its activities. The goal of this meeting is to generate a Search Committee Ranking Sheet (UHC-SCRS) and SC meeting minutes. Search Committee should generate a ranked list of candidates as a means of contingency during the offer negotiation phase (minimum of 3 candidates per position). In the case that no suitable candidate is found for the post, the Committee Chair must explore with the Dean whether to extend the application period. The respective Head of Department must also generate a contingency plan. Once the UHC-CIS, UHC-SCRS, and relevant attachments are prepared, the files are passed on to the Dean of the respective college.

As some professors are promoted upon appointment at another university, the SC Chair must provide justification for maintaining a candidate's rank at Alfaisal University including Promotion Letters for professorial ranks higher

than assistant professor. The Chair's justification may be rejected by the University Hiring Committee (UHC) or the President at their full discretion. As a matter of policy, Alfaisal University either maintains rank; or denies promotion upon appointment at another university. Alfaisal University, however, does not promote upon hire.

4.3.3 Role of Dean, University Hiring Committee & President

A Dean must ensure that the SC files are in order and is to apply reasonable scrutiny in reviewing the files. At the Dean's discretion, the hiring process must be reviewed and approved either by the College Council or a dedicated ad hoc committee at the college level. The outcome of this review is to either approve or deny the selection committee's recommendation, or to seek elaborations on certain aspects of the file. If the Search Committee Ranking Sheet (UHC-SCRS) is approved, the Dean forwards all the hiring files to the Chair of the University Hiring Committee including the minutes of the relevant meetings.

The Chair of UHC must first ensure that the Dean's files are in order before submitting the files to the UHC. The UHC is a standing committee created at the President's discretion, and which recommendations are non-binding to the President. All activity must be logged, and signed minutes must be generated for its meetings and decisions. The UHC applies this policy's Confidentiality and Privacy clause. The UHC structure should consist of at least the following members:

- The President's representative as Chair
- The Director for Accreditation and Quality Assurance
- The Associate VP for Research and Graduate Studies

At the President discretion, other members may be involved in the UHC deliberations.

The UHC proceeds as follows:

- Review completeness and coherence of the hiring process files.
- Review applications received through the job portal to ensure best candidates were considered.
- Ensure that reasonable efforts have been made to
    - Meet University's needs and quality considerations.
    - Meet hiring process transparency objectives.
    - Match candidate(s) choice to the College's needs.
    - Match candidate(s) choice to job description
    - Candidate alignment with the Alfaisal University's research themes
    - Consideration/commitment for diversity

The scope of the UHC is to ensure that all candidates satisfy Alfaisal University's minimal and general considerations, reviewing the quality and viability of individual candidates proposed by the College. If the UHC is not satisfied with the hiring files provided, it may communicate so to the Dean. If the UHC approved the hiring files, meeting minutes are generated with UHC recommendations and forwarded to the President for approval. Upon approval by the President, the decision and minutes are communicated by the Chair of the UHC to the Dean copying HR Department. The Department/College must fill up the online Position Requisition Form and attached the UHC approval for HR to proceed with the Tentative Offer Phase.\

4.4 Phase IV: Tentative Offer

Human Resources Dept (HR) initiates communication with the approved candidate on behalf of the University. This communication is to be made in coordination with the Dean of the respective College. In the presence of a ranked list, HR is to proceed with the highest ranked candidate. Upon rejection of the tentative offer, HR in coordination with the College will proceed with the second candidate, and so on. Rejections must be promptly communicated to the Dean. In case that all ranked candidates reject the offer, HR will seek possible further steps with the Dean.

Possible next steps include negotiating the offer, restarting the hiring cycle; considering reasonable candidates that did not make it to the rank; or resorting to adjuncts for a set period (e.g., one term or a full year). Once a ranked candidate does accept an offer, HR is to proceed with finalizing the appointment.

At this stage, HR communicates with unsuccessful candidates (e.g., interviewed, and ranked candidates) a message appreciating their interest; regretting that they have not been selected; and encouraging them to reapply for future posts (see UHC-Letters to unsuccessful candidates in appendix 5.6). HR further communicates to all non-selected candidates a message that indicates that the hiring procedure has been concluded and that they have not been selected.

4.5 Phase V: Final Hiring Procedure

As indicate in Appendix 5.1 (Flow Chart of Alfaisal University Hiring Process), the following duties are to be overseen by HR through the respective departments.

Facility

- Airport pickup
- Hotel/accommodation arrangement
- Workstation + office supplies
- Searching for housing accommodation
- Provide information about school options

IT Services

- Computer & accessories
- Activation of email + portal access

Human Resources (HR)

- Issuing employee ID card
- Employment contract and orientations
- Salary and housing advances

Government Relations

- Medical examination
- Obtaining Resident Permit
- Issuing Health Insurance document
- Provide information about driver license and banking

5. Appendixes

5.1 Flow Chart of Alfaisal University Hiring Process

5.1 Flow Chart of Afaisal University Hiring Process

Phase	Month	Step	Responsible Person	Responsible Body	Actions/Responsibilities
I – Establishing the Need to Hire	SEP NOV	I - A	DEPT CHAIR	DEPT COUNCIL	Department establishes need, generates UHC-MP and UHC-APRF.
		I - B	DEAN	COLLEGE COUNCIL	Dean reviews UHC-APRF, UHC-MP, and required budget.
		I - D	UHC/ PRESIDENT	UNIVERSITY EXECUTIVE	Review department request and need/ Approve request to hire.
II – Ads and Application	DEC	II -A	College/HR	HR, IT,	College/HR coordinates with: - HR for advertisement venues - IT & UHC for advertisement - IT to setup application website
III – Selection	JAN FEB	III - A	SC CHAIR	HR, SC, D. COUNCIL	▪ Initial screening by SC and generate shortlist ▪ Interviews and prepare hiring files
		III - B	DEAN	COLLEGE COUNCIL	▪ College Council reviews hiring files ▪ Dean forward files to UHC Chair
		III - C	UHC Chair	UHC	▪ UHC reviews hiring files ▪ Send UHC decision to the President
		III - D	PRESIDENT	UNIVERSITY EXECUTIVE	▪ President approves hiring ▪ UHC Chair send approval to the Dean & HR
IV – Offer	MAR	IV - A	HUMAN RESOURCES	College HR, GR	▪ College fill up online Position Requisition Form ▪ HR coordinates with Dean and briefs President on offers. ▪ HR sends out rejection notifications. ▪ GR begins visa process.
V – Final Procedures	JUL AUG	V - A	HUMAN RESOURCES	GR, IT, FACILITY	***Facility: Airport Pickup; Accommodation; Workstation, and Office Supplies*** ***IT Services: Computer & Accessories; Activation of Email + Portal Access*** ***HR: Issuing employee ID card; Employment Contract, and New Faculty Orientation*** ***Government Relations: Medical Examination; Resident Permit (Iqama); and Health Insurance***

5.2 UHC-Manpower Plan (UHC-MP)

Manpower Plan AY 2024-2025

Manpower Plan (Fall 2024)

#	Faculty Name	Designation	Semester	Teaching												Research*			
				Course Code	Number of section	CR	Course Code	Number of section	CR	Course Code	Number of section	CR	Course Code	Number of section	CR	Credit Hours (Teaching)	# of UG students	# of G students	Credit Hours (Research)	Total Credit Hours
Example	Dr. Ahmed Khan	Assist. Prof.	Fall	BIO 101	1	3	BIO 101L	2	2	BIO 224	1	3	BIO 224 L	1	1	9	2	4	1.5	10.50
1																0			0	0.00
2			Fall													0			0	0.00
3			Fall													0			0	0.00
4			Fall													0			0	0.00
7			Fall													0			0	0.00
8			Fall													0			0	0.00
7			Fall													0			0	0.00
8			Fall													0			0	0.00
9			Fall													0			0	0.00
10			Fall													0			0	0.00
																0				
			15 Teaching/contact hours = 1 credit hour														* 0.25 per Student up to a max of 4 credit hours			

Manpower Plan (Spring 2025)

#	Faculty	Designation	Semester	Teaching												Research*			
				Course Code	Number of section	CR	Course Code	Number of section	CR	Course Code	Number of section	CR	Course Code	Number of section	CR	Credit Hours (Teaching)	# of UG students	# of G students	Credit Hours (Research)	Total Credit Hours
Example	Dr. Ahmed Khan	Assist. Prof.	Fall	BIO 112	1	3	BIO 112L	1	1	BIO 340	2	6				10	2	4	1.5	11.50
1			Spring													0			0	0.00
2			Spring													0			0	0.00
3			Spring													0			0	0.00
4			Spring													0			0	0.00
7			Spring													0			0	0.00
8			Spring													0			0	0.00
7			Spring													0			0	0.00
8			Spring													0			0	0.00
9			Spring													0			0	0.00
10			Spring													0			0	0.00
																0				
			15 Teaching/contact hours = 1 credit hour														* 0.25 per Student up to a max of 4 credit hours			

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Alfaisal University

UHC-ACADEMIC POSITION REQUISITION Form (UHC-APRF)

Employee Profile	
Job Title:	Budgeted: ☐ YES ☐ NO
Expected Joining Date: / /	Employment Status: ☐ Regular ☐ Visiting
Nationality: ☐ Saudi ☐ Non-Saudi	Gender: ☐ Male ☐ Female
Replacement	
Is this a requisition for a replacement?	☐ YES ☐ NO
Replaced Name:	Replaced Rank:
Position Requirements	
Purpose of the position:	
Education Requirements:	
☐ Bachelor's ☐ Master's ☐ PhD ☐ Others	
Languages:	
☐ English ☐ Arabic ☐ Others	
Justification (if the position is not budgeted):	
Requester Details	
Department/ College:	Date: / /
Department Head	
Name:	Signature:

Salary, Contract Duration, and Budget Review in Consultation with HR		
Recommended Basic Salary:	Grade/Level:	Duration of contract (years):
Requisition within approved budget	☐ YES ☐ NO	
Comments		
Dean's Approval		
Name:	Date: / /	Signature:

President's Approval		
Name:	Date: / /	Signature:

جامعة الفيصل
Alfaisal University

UHC-Candidate Interview Summary (UHC-CIS)

Personal Information	
Candidate Name:	Gender: ☐ Male ☐ Female
Nationality:	Country of Residence:
Education and Specialization	
Highest Degree Earned:	Degree Year & Country:
Specialization (General):	Specialization (Specific):
Current Job Details	
Current Position:	Current Rank:
Current Employer:	Years of Experience:

Teaching Experience			
Years in Teaching		Levels Taught (UG/G)	
Regional Experience		Communication Skills	
Teaching Statement		Overall Teaching Score (1-5)	
Research Experience			
Scopus Paper Count		Patents Granted	
Scopus Citations Count		Graduate Supervision	
Grants/Awards		Overall Research Score (1-5)	
Services Experience			
Department Services		Consulting Services	
College Services		Community Services	
University Services		Overall Service Score (1-5)	

Remarks

Search Committee (SC) Approvals and Dates (Minimum 3 members)			
	Name	Signature	Date
SC Chair			
SC Member			
SC Member			

Search Committee Ranking Sheet (SCRS 2023)

College Name:		Is this a replacement?	☐ Yes ☐ No
Department:		Replaced Name:	
Position Title:		Rank:	
Advertisment Duration:		Ads. Venues:	☐ AU ☐ Chronicle ☐ Others
Applications Received:		Ads. Duration:	From: To:
Candidates Interviewed:		Application Deadline:	
Candidates Recommended:		Manpower Included?	☐ Yes ☐ No

Job Portal Entry #	Candidate Name	Gender	Nationality	Highest Degree	Highest Degree Year	Country of Last Degree	Specialization (General)	Specialization (Specific)	Teaching Experiences (1-5)	Research Experience (1-5)	Service Experience (1-5)	Communication Skills (1-5)	Total Score (out of 20)	Search Committee's Remarks & Recommendations

5.6 UHC-Letters to unsuccessful candidates

Subject: Your Application to Alfaisal University

Dear <Candidate Name>

We regret to inform you that your application to the post <Position Title> was not successful for this year.

We appreciate your interest in joining Alfaisal University and encourage you to consider our future posts.

All the best in your future endeavors.

Respectfully,

HR Department

Alfaisal University

Subject: Your Application to Alfaisal University

Dear <Candidate Name>

We regret to inform you that your application to the post <Position Title> was not successful for this year.

We appreciate your interest in joining Alfaisal University and wish you all the best in your future endeavors.

Respectfully,

HR Department

Alfaisal University

Admin Policy and Procedure Manual -HR002

Policy Code

HR002

Human Resources Philosophy

The responsibility of the Human Resources (HR) department is to create healthy and motivating work environment characterized by openness, enthusiasm, trust, equality, and collaboration.

We believe that people are the most important pillar to any organization. As a result, work will bloom when its people thrive and struggle when its people struggle.

We believe that people can be developed to a great extent as they have creative energy that is usually partly employed.

We do believe that people contribute to the maximum if they get an opportunity to discover their full potential and use it.

We also believe that people feel committed to their work if they develop belongingness with it and they are likely to develop a feeling of belongingness if the organization takes care of them and their need satisfaction.

Therefore, we are here. We are here to address these believes.

We envision HR to be an open and trusted partner to our community and are committed to promote honesty, integrity, and trust, celebrate teamwork, encourage communication, and embrace change and innovation.

We are here to make this happen.

1.0 Introduction to the Manual

1.1 Overview

The purpose of this manual is to serve as a working guide for Human Resources staff and administrators processing HR matters at Alfaisal University. This manual will be used to govern the conduct of business and the University's relationship with its employees.

While using this manual it must be remembered that no two situations are exactly the same. Further it is neither practical nor feasible to anticipate all possible work situations in advance and present policies, which supply complete ready-made answers. Within the framework illustrated in the manual, it is possible to address probable situations that may arise in the normal course of business and employee relations. All references in this manual to word "University" shall be deemed to be referenced to the "Alfaisal University".

1.2 Applicable Law

The manual has been devised in accordance with statutory requirements, the University's internal rules and its contractual obligations, subject to all laws of the Kingdom of Saudi Arabia. The manual clarifies the University standpoint and thereby eliminates the need for individual decision-making in day-to-day affairs.

Alfaisal University is an equal opportunity employer, which means that it provides the same opportunities for hiring, development and benefits to everyone without discriminating between age, gender, disability. Equal Opportunity Employer reflects our commitment to ensure equality, treat everyone with respect and promote diversity in the workplace.

2.0 Role of Human Resources Department

The Human Resources Department is responsible for the following key activities and responsibilities:

2.1 Manpower Planning and Recruitment

- Develop Alfaisal University's specific manpower planning and recruiting policies and procedures.
- Define and communicate human resources planning and recruiting guidelines to concerned business units.
- Conduct overall staff planning to determine long-term staffing needs and gaps in number and quality of staff.
- Develop and implement a quarterly manpower control report for periodic review and analysis by the Director of Human Resources and VP for Finance & Administration.
- Monitor labour legislation to ensure adherence of Alfaisal University and the Business Units to Labour Laws, government initiatives, such as the Saudization Policy.
- Identify markets and sources of human resources for all types of positions.
- Select and recruit Alfaisal University's human Resources both internally and externally.
- Develop and communicate screening tests and standards to be used in the selection process for all type of positions.
- Conduct new employee orientation programs so that each individual at Alfaisal University has a good understanding of the work rules, policies and procedures.

2.2 Training, Career Development & Performance Management

- Develop Alfaisal University's specific training and performance management policies and procedures.
- Develop the guidelines for training, career development and performance management program, and communicate these guidelines to the business units.
- Coordinate Alfaisal University's performance evaluation process and link it to Alfaisal University's reward systems and promotions.
- Develop and implement training programs to improve the skills of Alfaisal University's employees.
- Monitor and support development of Alfaisal University's employee professional skills.
- Provide career counseling to Alfaisal University's staff.
- Plan implement and monitor Alfaisal University's employee development programs.
- Evaluate training curriculum to ensure training needs of Alfaisal University's employees are met.
- Develop a strategy for identifying and selecting the training Resources (training modules/materials) necessary to deliver effective training programs on an on-going basis.
- Develop and implement a comprehensive management-training program at Alfaisal University, which will include professional certifications, formal courses, self-study courses, on-the-job training and mentoring programs.
- Manage approved training and employee-development budgets at Alfaisal University, and ensure that budgets are not exceeded, while delivering effective training, which meets institutional needs.
- Monitor the proper execution and evaluation the effectiveness of Alfaisal University's training plans and development programs.

2.3 HR Operations

- Develop compensation & benefits guidelines and communicate with the business units.
- Develop Alfaisal University's specific compensation & benefits policies and procedures.
- Monitor remuneration competitiveness, establish benchmarks and develop recommendations for compensation & benefits structure.
- Develop Alfaisal University's classification system, job grading structure and salary scale.
- Develop new job descriptions and classify them according to Alfaisal University classification system.
- Administer benefits and entitlements for Alfaisal University employees.
- Administer the health care and insurance programs for Alfaisal University's employees.
- Coordinate with Finance Department for the timely processing of the monthly payroll.
- Oversee the payroll and maintain payroll information for Alfaisal University employees.
- Establish consistent policies on employee relations.
- Participate in disciplinary hearings at Alfaisal University to ensure fairness and consistency of actions and advise management of the most appropriate action.
- Act as primary contact for Alfaisal University's employees in resolving work related issues and employee grievances.
- Provide counseling and advice to Alfaisal University's directors, managers and supervisors in handling employee relations issues.
- Conduct exit interviews with all employees who leave Alfaisal University in order to identify problem areas and make recommendations for improvement.
- Set up a system for monitoring Alfaisal University's employees' turnover and absences.
- Maintain personnel records of all Alfaisal University employees on database.
- Provide Alfaisal University's employee administration services such as monitoring attendance, processing of leave applications, benefit claims, etc.

2.4 Government Relations Dep. (Not under HR Dep.)

- Obtain visas/work permits for Alfaisal University's employees.
- Process residential permits (Iqama) for Alfaisal University's employees.
- Process exist/re-entry visas for Alfaisal University's employees.
- Process visit visa and sponsorship for Alfaisal University's employees' families.
- Assist employees in obtaining driver licenses.

- Process final exit visa for Alfaisal University's employees.
- Process the attestation of all certificates and documents for Alfaisal University and its employees
- ▪ Act as primary contact for Alfaisal University with social security authority and other labor organizations.
- ▪ Conduct passport and visa follow up services for oversees business travel

2.5 Facility Dep. (Not under HR Dep.)

- Maintain, enhance and develop administrative services policies and procedures that will facilitate requirements for Alfaisal University's day to day activities;
- Make hotel and air ticket reservations for Alfaisal University personnel for business travel purposes.
- Manage and monitor the day-to-day operations of:
  - Receptionists
  - Refreshment Attendants
  - Office supplies and inventory-related activities
  - Maintaining buildings of Alfaisal University

3.0 Human Resources Policies

3.1 Manpower Planning

Overview

The Manpower planning policy covers all policies and procedures, which are related to the manpower strength of the University and the process of manpower planning.

Objective

The objective of manpower planning is to assess short, medium- and long-term manpower requirements for the University based on inputs from departmental requirements and vacancies to ensure that the right quantities of qualified human Resources are employed in the University by:

- Planning for manpower requirements
- Recruiting quality talent
- Promoting Saudization
- Determine future needs of workforce and their budget

Policy Details

1. The University enhances the organization structure as necessary to ensure that it is appropriate to the achievement of the business strategy; estimates the numbers, types, and levels of job holders needed by each business unit and department to implement business plans; identifies expected vacancies; and determines how vacancies are to be filled.
2. Each Function will evaluate its manpower planning requirements in line with its specific business plans and requirements.
3. Manpower requirements will be determined based on competency gaps, exits, promotions and succession plans, change in business processes and introduction of new processes and techniques.

3.1.1 Manpower Planning Inputs

Manpower planning shall be based on the following major qualitative and quantitative inputs:

1. Existing and expected levels of operation e.g. increase in volume of business handled, existing and new projects, expansion in new colleges & businesses, outsourcing decisions, etc.
2. Approved manpower strength and Saudization objectives
3. Existing staff skills, required new skills & competencies
4. Introduction of new processes and technologies
5. New positions to be introduced
6. Overall Saudization targets

7. Under resourced functions (evidenced by high incidence of overtime)
8. Performance/exit management redundancies.

3.1.2 Manpower Planning Key Activities

The manpower planning process includes the following key phases:

3.1.3 Operational Planning

1. The University should anticipate its workforce of the future needs based on strategic plans and the larger cycle of business planning.
2. The University's Operational Planning cycle starts with identifying the strategic objectives and the organization's vision of its future operations.
3. This phase involves the forecasting for longer-term manpower requirements by all the operating colleges / divisions within the University.
4. Executive Management and Human Resources Department must gather and analyze various manpower related information and drivers, discuss its impact on workforce planning, and addressing the need for the University to consider these trends and drivers, and their impact on the University's operational and academic success.

3.1.4 Demand Analysis

1. This activity involves determining the manpower that is needed now and the manpower that will be needed for the future based on University's business needs and operational plans.
2. Division/ Department Managers should conduct and complete a manpower assessment study against operational requirements. The outcome of this study is a forecast of the numbers of employees, locations and type of required competencies.
3. University's vision, mission, values, long term strategic goals and objectives should be always considered in the demand analysis study.

3.1.5 Supply Analysis and Forecast

1. The Supply activity involves examination of the current workforce and projecting how it may evolve in the future. This stage of the process is concerned with identifying the number, characteristics, skills and abilities of employees currently in the University and then forecasting what will happen to these employees over the period of the planning horizon.
2. The Supply activity (Supply Analysis Study) is best undertaken by Managers on regular basis and facilitated by the Human Resources Operation Manager before the Manpower Planning formulation process actually begins.
3. It is essential that the Supply Analysis is based on an inventory of the skills, abilities and characteristics of employees currently available in the University or may be extracted through a computerized Human Resource Information System or a combination of recording mechanisms.
4. The Supply Analysis will enable the Human Resources Operation Manager to:
    - Assess competencies within the existing workforce, and view the competencies through multiple dimensions.
    - Estimate salaries and costs associated to current workforce in the event of transfer from one location to another.
    - Use these results to evaluate the current workforce and as a basis for modeling the future workforce.
    - See how closely the University current workforce meets the needs of the institution.
    - Identify a list of employees who have the required competencies for each role.
    - Assess the gap between University's current workforce's competencies and the requirements of various future competencies.
5. The Supply Analysis requires the projection of the availability of employees by examining the flows of employees up, across and out of the University over the planning horizon.

6. As part of the University supply analysis, the need to develop attrition forecast is needed to allow better analysis of supply. Manpower planning personnel will need to specify assumptions based on factors specific to the University to forecast an attrition rate, including estimates of the number of employees who will separate, resign, transfer, be dismissed, or retire.
7. A general attrition rate is a calculation that includes the number of resignations + the number of transfers + the number of retirements divided by the total number of employees = the attrition rate percentage
8. It should be recognized that it is difficult to accurately predict the future workforce. However, it should be possible to develop sufficiently reliable estimates to enable practical manpower planning process to occur.

3.1.6 Gap Analysis

1. Gap analysis (Gap Analysis Study) identifies the differences between the future workforce needs and the current workforce, determining the future gaps in the overall numbers as well as skills and abilities of employees.
2. Gap analysis involves an examination of the current supply and future forecasted demand and determining potential variances, which may be either shortages or surpluses in the workforce
3. Human Resources Operation Manager is responsible to identify and document the gap analysis in coordination with concerned Colleges / Divisions.

3.1.7 Manpower Plan Formulation & Consolidation

1. Following the Gap Analysis process, a Manpower Plan should be developed to include action plans and potential programs to address the specific needs of the various divisions and developing options to close the identified gaps (Manpower Plan and Budget).
2. Concerned Colleges / Division should prepare operational plans for their functions based on overall business plans.
3. Human Resources Operation Manager shall provide the necessary support to the Colleges / Divisions to facilitate the manpower planning process.
4. Human Resources Operation Manager shall review the manpower plans and proposed solutions to ensure that the final manpower plans are in line with established policies and procedures.
5. Human Resources Manpower Recruitment & Staffing Manager shall be responsible for the compilation of Departmental Manpower Plans into the Alfaisal University overall annual Manpower Plan.
6. The overall manpower plan will then be consolidated for the University by the Human Resources Recruitment & Staffing Manager will and the final manpower plans for each function will be drawn up.
7. Final manpower plans and budgets will be approved as per the Delegation of Authority Matrix.
8. The approved manpower plans shall form the basis for recruitment, exits, training, career development and succession plans, promotions, transfers, etc. for the coming year.
9. Human Resources Recruitment & Staffing Manager will be responsible to monitor the implementation of approved manpower plans.

3.1.8 Planning Period

1. Manpower planning must take place annually between November and January in order to compile the manpower planning plans and budgets.
2. The manpower plan covers one year.

3.1.9 Manpower Plan Contents

1. The annual Manpower Plan shall contain the number of human Resources required for each job title and function, together with the corresponding skills, competencies, experience required as well as when the respective Resources are required.
2. The approved Manpower Plan that has not been utilized during the year will be carried forward to the forthcoming year provided that the concerned Colleges / Divisions confirm their requirements.

3.1.10 Benchmarking

1. The Human Resources Recruitment & Staffing Manager will be responsible to conduct or participate in a survey to estimate benchmark manpower productivity ratios in the competitive industry.
2. The Human Resources Operation Manager will also estimate changes within the organization, like introduction of new technology, processes and systems that could impact manpower productivity and any associated changes in the skill/competency requirements.
3. The Human Resources Operation Manager will revise the manpower planning assumptions accordingly

3.1.11 Amendments to Approved Manpower Plans

1. Manpower Plan may be reviewed according to business requirements.
2. Department Heads shall review their departmental manpower status and reconsider manpower requirements for the next six months in consultation with respective Deans of Colleges/Division Heads.
3. Following recommendation from the concerned respective Deans of Colleges / Division Heads, additional/ revised requirements shall be submitted to the Human Resources Recruitment & Staffing Manager for review and approval as per the Delegation of Authority Matrix.
4. The number of employees in any job title should not exceed the number of positions specified for that grade in the approved manpower plan of the concerned College / Division.
5. The Department Head with the approval of the Dean of College / Division Head may transfer a position authorized in the Manpower plan allocated for his/her Department to another position within the same Department in accordance to the following conditions:
    - The transfer is in the interest of work requirements of the Department.
    - The original position shall be deemed as cancelled as soon as the transfer decision is approved.
    - The created position should have an equivalent grade as of the original position.
    - Where such a transfer is required to be made across College / Division, proper approval is required as per the Delegation of Authority Matrix.

RESPONSIBILITY	PROCEDURE	REFERENCE
Operations Plan		
Line Managers and Supervisors (LMS)	1. Forecasts and Submits long term manpower requirement based on the overall strategy	
Concerned Deans of Colleges/Division Heads (CDH)	2.Reviews long term manpower requirement and insures alignment with overall institutional strategies and divisional operating requirements	
Operation Manager	3.Reviews the final operation plan	
Demand Analysis		
Recruitment Officer	1.Initiates the Manpower Planning process by sending the Demand Analysis Study to CDH and Reviews the Demand Analysis.	Demand Analysis Study
Concerned Deans of Colleges/Division Heads (CDH)	2.Submits Demand Analysis Study form that Reviewed including required positions & Dept. objectives to Line Manager and supervisors	
Training and Dev. Manager	4.Develops job description 6.Reviews skills & competencies required	
Line Manager and supervisors	3.Prepares and send Manpower demand analysis study to CDH and complete the demand analysis study received by CDH. Develops job description for newly introduced positions and obtain approval of new position creation 5.Determines skills and competencies required by position according to JD 7.Compiles final list of required positions with required skills into final demand analysis Study	
HR Employee	8.Provides data of salaries and benefits	
Supply Analysis		
Recruitment Officer	1. Searches Alfaisal University database to identify suitable internal employees 2. Analyzes potential employee's skills and competencies against demand analysis study	

RESPONSIBILITY	PROCEDURE	REFERENCE
	3. Estimates and forecast available resources after attrition and losses 4. Compiles draft report of available suitable employees & submits to HRD for review & approval 7. Completes & compiles final supply analysis study	
HR Director (HRD)	5. Reviews & confirms supply analysis data	
Concerned Deans of Colleges/Division Heads (CDH)	6. Reviews identified people, confirms availability, skills & interest of current resources	
Gap Analysis		
Operation Manager	1. Prepares comparison of employees available against demand to define variations 4. Identifies long & short term requirements 5. Compiles final gap analysis study addressing gaps & priority areas of action	
Concerned Deans of Colleges/Division Heads (CDH)	3. Reviews and confirms the Gap analysis Study and priorities	
HR Director (HRD)	2.Sets and establishes priority areas based on level of impact on overall Alfaisal University business	
Manpower Plan Formulation		
Recruitment Officer	1. Develops draft gap analysis study 2. Develops solution and scenarios to resolve gap 3. Compiles initial tailored plans in coordination with HRD 5. Compiles final plan for HRD approval	
HR Director (HRD)	4. Reviews, Discusses and agrees solutions with RO 6. Performs final review and forward to VPF for review and approval	
VP of Finance & Administration	4.1 Approves Solutions Scenarios	
Concerned Deans of Colleges/Division Heads (CDH)	7. Reviews, approves and sends to President for final approval and sends to (R&SM) for processing	
Monitoring & Evaluation		
Recruitment Officer	1. Circulates Evaluation forms on Manpower planning process to line managers and supervisor 2. Gathers and studies input and feedback in the manpower plan process from line manager and supervisors and provides recommendations	
Operation Manager	3. Reviews and Assesses Recommendation	
HR Director (HRD)	4. Implements Recommendation	

3.2 Recruitment & Selection

Overview

This policy covers all policies and procedures, which are related to the Selection & Recruitment to meet manpower requirements of the University by sourcing candidates with the appropriate qualifications, skills and competencies.

Objective

The purpose of the Selection & Recruitment process is to standardize the conduct of Selection recruiting and to achieve the following objectives:

- Establish fair, consistent and timely procedures to recruit and select candidates.
- Ensure that vacant positions are filled in a timely manner.
- Promote a positive public image about the University through the application of the Merit Principle, Transparency, Respect and Professionalism Principle.
- Ensure that an adequate selection of candidates is attracted to fill vacancies.
- Ensure that qualified and capable candidates are selected to execute the position duties and responsibilities after successfully passing the selection process.

Policy details

1. The sourcing and recruitment of high-quality candidates is crucial to the continued success of the University.
2. The University is committed to recruit and select outstanding faculty and staff in a fair and consistent manner.
3. The University gives priority to the recruitment of Saudi Arabian Nationals for administrative positions.

3.2.1 Recruitment Criteria

1. Recruitment will be made for the following major reasons:
    - Replacement of existing vacancies.
    - Additional manpower requirements as per the approved Manpower Plan.
2. Recruited candidates should satisfy the following conditions:
    - Be a Saudi national or from a Saudi mother and if not available, other nationalities will be considered if the requested position is not required position for Saudis as per the Ministries policies
    - The candidate should hold the appropriate qualifications and experience, which are as per the approved job description for the position. He/she should produce the necessary documents that confirm his/her qualifications and practical experience, authenticated as appropriate.
    - The candidate should be of good conduct and behavior.
    - The candidate should not have been previously convicted with a penalty restricting his/her freedom for a crime or was convicted for breach of honor or honesty crimes.
    - The candidate should not have been dismissed previously for disciplinary reasons.
    - The candidate age is not less than 18 Gregorian years as confirmed by a birth certificate/passport.

3.2.2 Recruitment Budget

1. The recruitment budget will specify the numbers of employees required, their grades, place of recruitment, sourcing options and assessment methods.
2. The recruitment budget would include the cost assessment of the entire manpower plan, including cost of salary and benefits, overhead costs, recruitment costs, travel for interview costs, advertising costs, incidental costs like visa processing for expatriates, relocation costs, etc.
3. These costs will be factored in to each function’s budget under the manpower costs head and then in to the overall budget of the University.
4. The recruitment plan shall be consolidated by the Human Resources Recruitment & Staffing Manager and approved as per the Delegation of Authority Matrix.
5. The Approved Recruitment Plan shall form the basis for conducting all the recruiting activities.
6. Heads of colleges/Departments must provide HR with yearly expected positions and estimated packages as per the salary structure

3.2.3 Recruitment Types

1. Purpose
   To ensure that full-time or part-time selection & recruitment for academic and general staff complies with University policies and procedures.
2. Policy
   The different types of recruitment available at the Alfaisal University are as follows:
3. **Full Time Recruitment:** An employee, either regular or temporary, who is normally scheduled to work forty (40) hours per week. Full Time employees shall be paid according to the established salary scale depending on the grade of the position assigned to him/her.
4. **Part Time Recruitment:** An employee, either regular or temporary, who is normally scheduled to work less than forty (40) hours per week. Part Time employees hired for less than 100% of full-time shall be paid a pro-rated amount of the established full-time salary for the position depending on number of hours worked during a week or month.
5. Ajeer Recruitment:

I. Ajeer Dependents Recruitment: Employees that are under dependent sponsorship. An employee, either regular or temporary, who is normally scheduled to work forty (40) hours per week as a full-time employee. Ajeer Dependents employee shall be paid and benefit according to the established salary scale depending on the grade of the position assigned to him/her and per the University policy and procedure. Specific regulations are applied.

II. Ajeer Service Recruitment: Employees getting approval from their sponsors to be under Ajeer Contract for the University for specific time. The University supports the employment of Ajeer Service staff members to achieve its strategic goals through the efficient and effective deployment of staff. Ajeer Service employee shall be paid and benefit according to a pre-agreement between the University and the employee current employer. Specific regulations are applied.

6. **Adjunct Recruitment: (Academic):** Employees who work for specific hours at the University. The University supports the employment of Adjunct staff members to achieve its strategic goals through the efficient and effective deployment of staff. Adjunct employee shall be paid a pro-rated amount of the established full-time salary for the position depending on number of hours worked during a week or month. Specific regulations are applied.
7. **Student Part Time Recruitment:**
   The University supports the employment of Student part-time to help meet the needs of the university, provide university students with financial support in pursuit of their academic goals and provide opportunities for academic or administrative job experience.

Procedure
Full-time or Part-time Recruitment

3.2.4 Request for Recruitment

1. Request for recruitment (Position Requisition Form) are initiated by the concerned Manager and authorized by the concerned Dean of College / Division Head and the Human Resources Recruitment & Staffing Manager to ensure they comply with the Manpower Budget and Plan and have been properly planned and budgeted for.
2. For Adjunct and Ajeer Contracts: Concerned College/Dep. who are requesting the position need to submit candidate's details and documents using the online form prior to sending the needed contract to the HR Dep.
3. Human Resources Operation Manager shall review the Employee Requisition Forms before being processed, to ensure that the requests are in compliance with the approved Manpower Plan.

3.2.5 Job Description and Person Specification

1. Each position to be recruited for must have a proper job description (Job Description Form) to attract people based on clear job expectations and establish test and assessments designs to determine the most qualified candidates.
2. In case of new positions being created or added, new job descriptions should be developed for these new positions.
3. Human Resources Planning and Dev. Manager in conjunction with the concerned Department Heads shall draft and update Job Descriptions for all positions and develop job profiles including competencies, experience, qualifications and applicable grades for the positions to be recruited.
4. Human Resources Planning and Dev. Manager shall conduct regular reviews on all job descriptions to ensure that they capture the full job accountabilities and job specifications.
5. No applicant shall be recruited or employed in position titles not included in the Classification and Grading Structure unless formal job descriptions and pay grades have been approved by the Human Resources Department Director.
6. Official position titles and job classification, grading numbers shall be used in all personnel, financial, and other HR Systems and records.

3.2.6 Job Evaluation and Classification

All regular Administrative, Service & Support positions are equitably evaluated and classified and assigned to a salary range unless specifically exempted. Human Resources Department is responsible for job evaluation and classification of all regular, non-faculty positions. Positions with similar duties, similar set of skills and responsibilities are usually grouped together in the same job class. All evaluated positions will be assigned a pay grade. In determining the pay grade assignment, the position evaluation process will focus on essential functions, knowledge, skills, and abilities required to perform the job competently.

In order to make such an evaluation, Human Resources must receive a completed Job Description from the concerned hiring Manager prior to posting a new or revised position.

3.2.7 Pre-Requisites for Recruitment

Application Form

1. Each applicant for a vacant position has to fill up a designated application form (Employment Application).
2. The applicant should present supporting evidences of his educational qualifications that have to be submitted in duplicate along with the application form.
3. On joining, the employee needs to the present original certificates.
4. Any misrepresentation, falsification or material omissions contained in the employment application and other data presented throughout the hiring process and employment may result in the exclusion of the individual from further consideration for employment or if the person has been hired, in the termination of employment.

Identification

1. All national Job applicants must possess a valid Saudi Arab National I.D. Card or an official Saudi Arab Government document proving citizenship of Saudi Arabia.
2. All other non-Saudi applicants inside the kingdom must have a valid Residency Permits (Iqamas).

Medical Test

1. All prospective employees prior to employment will have to undergo a compulsory medical test.
2. The medical test will be conducted at a medical facility approved by the University.
3. The cost of this test will be borne by the University.
4. Any exceptions to the medical test will be approved as per the Delegation of Authority Matrix.

Clearance Certificate

1. For certain jobs, the final employment letter will be given only after approval of the requisite Saudi Government agencies (e.g. for certain Security personnel jobs).
2. The University may request selected candidates to bring clearance certificates from their previous employers.

Reference Checks

1. For selected positions, the Human Resources Operation Manager will conduct reference checks (Reference Check Request) with the former employers of the candidate regarding his/her personal conduct and employment history.

Age Restrictions

1. The minimum age limit of employment for Saudi candidates is 18 Gregorian years. Saudi students below the age of 18 years may be employed as summer trainees.
2. Minimum age limit of employment for Non-Saudis candidates will be 22 Gregorian years.

Education

1. All job applicants must possess the requisite educational qualifications for a particular job as per the Job description requirements and specifications. A copy of the credentials must be submitted for the employee file.

3.2.8 Recruitment Sources
In order to source, select and recruit appropriate candidates according to the approved Manpower & Recruitment Plan, the following sourcing options shall be sought:

Internal Sourcing

- **Existing Employees**
  1. In case of vacancies, first priority will be given to internal aspirants from within the same Function. Candidates from across the University are allowed to apply for the vacancy.
  2. The responsibility to announce such vacancies will rest with the Human Resources Dep.
  3. Every internal applicant must seek his Department Head's permission before the application is sent to Human Resources Recruitment Dep.
- **Applicants Databank**
  1. Applicant's databank includes individual's CVs and employment applications applied for previous opening vacancies and were not considered to be successful candidates.
  2. Human Resources Recruitment & Staffing Section is responsible to keep and update their records to refer back to it when required.
- **Employee referrals**
  1. Employees are encouraged to invite friends and contacts to apply for suitable vacant positions.
- **Former Employees:**
  1. Individuals used to work for Alfaisal University and left on good manners and have had good performance records.
- **Summer Trainees**
  1. When college students are hired as trainees during college summer vacations, they are introduced to the nature of work and trained accordingly.
  2. During the training period some trainees might develop a desire to be hired after graduation, thus they are evaluated and assessed for suitability and efficiency.
- **Employment of Relatives & Nepotism Policy**
  No administrator, officer, faculty, or employee shall participate, either directly or indirectly, in a decision to appoint or hire an employee of the University, including regular, temporary, and part-time appointments, who is related to such person within the fourth degree by blood or marriage. It also shall be a violation of this policy for an employee to supervise, either directly or indirectly, the work of another employee who is related within such fourth degree, unless the supervisory role is specifically approved by the President of the University.

A relative within the fourth degree includes, but is not limited to spouse, child, grandchild, great-grandchild, great great-grandchild, parent, grandparent, great grandparent, great great-grandparent, brother/sister, aunt/uncle, great aunt/uncle, niece/nephew, grandniece/nephew and cousin. All relationships are included, whether full-, half-, step-, foster-, adopted, or in-law.

External Sourcing
External sourcing could be done through any of the following avenues:

Advertising / Media
Human Resources Operation Manager is responsible to announce vacancies through the following means:

1. Press, local and national papers, trade and professional journals.
2. Internet advertisements announced on the Internet where applications are sent via e-mail.

3. This method speeds-up processing and circulation between the Human Resources and the concerned requesting Departments.
4. An advertisement should include the following essential information:
    - The settings of the advertised position and relevant information (location, organizational entity...etc.)
    - Description of the vacant position (tasks, responsibilities ...etc.)
    - Successful applicant's specifications (skills, abilities ...etc.)
    - Contact information.
    - Specific qualifications and experience, both academic and professional, required for the position.
    - Conditions of employment (i.e. nature of work, hours of work ...etc.)
    - Opportunities for professional development and fringe benefits.
5. Effective advertisements must satisfy the following:
    - The advertisement should be distinctive in its language and appearance.
    - HR can seek the PR and Marketing Department's help with the advertisement design and newspaper placements.
    - When specifying required qualifications, the advertisement should concentrate on the major qualifications that are absolutely essential to the position. This should be done by specifying job-related keywords and terminologies that would ensure only qualified applicants would apply.
    - The advertisement should mirror a good reflection of the University in order to attract the best applicants through highlighting the University's reputation, size...etc.
    - The advertisement should highlight the major benefits that the job offers, such as the remuneration package.
    - The advertisement should clearly state the required documents to submit and should clearly define the deadline for submittal.
6. **Executive Search Consultants "Headhunters"**
    1. This method of networking would be utilized to attract executive applicants for top management positions for the University.
7. **Educational Institutes**
    1. This is considered as a cost-effective method, where fresh graduates are recruited from reputable schools / universities, developed, and groomed by Alfaisal University.
8. **Career Fairs**
    1. Career fairs offer good opportunities to job seekers seeking career employment opportunities with the University. Career fairs also provide a pool of candidates to the University.
9. **Recruiting Agencies**
    1. Private consultants might be solicited to assist in the identification and referral of applicants for certain positions, such as professional or specialized technical positions where it has been determined that suitably qualified applicants with specialized skills cannot be attracted by more conventional and traditional approaches.
10. Labor Offices
    1. The Human Resources Recruitment Officer may approach and source candidates from the Saudi Labor Offices as they are considered important sources of selection & recruitment for certain lower level jobs.

3.2.9 Screening and Selection

1. Human Resources Recruitment Officer is responsible for the initial screening of the CVs to filter those CV's that do not meet the basic requirements of the job description.
2. Human Resources Recruitment personnel involved in the screening process should be equipped with the correct skills in order to make right decisions. An erroneously rejected CV would be in effect depriving the University of a potential resource.
3. Human Resources Recruitment & Staffing Section should focus education background, nature and years of experience, and skills and abilities in screening of the applications submitted for each position.
4. CV's that do not meet the basic requirements and can fulfill the future requirements of other departments should be kept in Human Resources database for future use.
5. Selection will be based on the candidate meeting the job criteria as set by the job description.

6. Selection of candidates shall include the following screening processes:
    - Receipt of Application Forms/CVs
    - Screening and Short-listing
    - Interviewing and Reference Checks
    - Testing
7. The screened candidates will be interviewed by the Interviewing and Selection Panel. The Panel is comprised based on the level of the position however always includes an HR representative, the position's supervisor and a co-worker or member of the related department if needed.
8. Each member of the Interviewing and Selection Panel shall document the outcome (Interview Assessment Form) or each interviewee and complete the following categories:
    - Recommended for selection (one candidate only) for each Job.
    - Alternate(s) – one or more (stand-by)
    - Rejected
9. The most qualified and best-suited candidate should be selected based on interview results.
10. If more than one candidate has received equal score or have obtained the same results in the interview, the following criteria should be the base of selection:
    - Education level;
    - Years of experience;
    - Training received; and
    - Quality of experience.

3.2.9.1 Candidate Selection Expenses

Candidates called for interview from outside Riyadh or Saudi Arabia shall receive the following entitlements, if the distance exceeds 200 KM from University's work place:

- Roundtrip ticket from their city / country of residence. Ticket class varies according to position band, which is as follows:
    a. Executive Management Band : Business Class
    b. Management & Senior Professionals Band: Economy Class
    c. Supervisory, Professionals & Skilled Band: Economy Class
    d. Clerical, Semi-Skilled & Support Band: Economy Class
- Full Board Hotel accommodation (if applicable) The hotel selection of the hotel accommodation will be determined in accordance to the employee's band entitlements, which is as follows:
    a. Executive Management Band : Business Class / 5 star hotel
    b. Management & Senior Professionals Band: Economy Class / 4 star hotel
    c. Supervisory, Professionals & Skilled Band: Economy Class / 3 star hotel
    d. Clerical, Semi-Skilled & Support Band: Economy Class / 3 star hotel
- Other incidental expenses if applicable

3.2.9.2 Offer of Employment

1. On final selection of a candidate, Human Resources Operation Manager shall decide salaries and benefits for new hires and prepare the necessary offer letters (Job Offer Letter) in line with the University's grading and compensation structure.
2. The hiring salary offered is as follows:
    - Should be on or slightly above minimum of the salary range for a candidate who meets the minimum requirements of the job.
    - Should be at the mid-point of the salary range for candidates whose qualifications substantially exceed the minimum requirements of the job.
3. Job offers should state the following requirements:
    - Job Title & Description
    - Department & Location

- Salary & Benefits
- Offer Validity
- Other terms and conditions as deemed necessary.

3.2.9.3 Employment Contracts

1. After a candidate accepts an employment offer from the University and submits medical examination results confirming his/her ability to carry out responsibilities, a contract will be issued by the Human Resources Department (Employment Contract Template) setting out the terms and conditions of employment.
2. The period of employment is for indefinite period for Saudi employees (till they reach the age of retirement or their existence in the University is no longer needed) and it is on a definite period for Non-Saudis as agreed between the University and the employee, which can be extended from time to time as per the business needs.
3. Employment contracts shall include job title, contract period, pay and allowances, and any other rights, obligations and conditions.
4. Employment contracts are effective as from the date on which work under the contract is begun.
5. Each employee's contract will be drawn up in Arabic and English, with the Arabic version being considered the source document for any future legal disputes.
6. Both the University and the employee will sign two copies of the employment contract. Both parties will then keep one of the originally signed contracts for file throughout the employee's service.
7. A copy of the employment contract should be given to the employee and other copy to be kept in the employee's personnel file within the Human Resources Department.
8. The University will cancel an employment contract without notice, indemnity or compensation, if at any time it is discovered that the employee in his/her application claimed a false identity or submitted incorrect information or false documents, subject to the employee's right to explain his/her actions and present reasons for opposing the termination of the contract in accordance with Article No. 80 of the Saudi Labor law.

3.2.9.4 Date of Hire

1. The hire date for any new employee is the first day at work.
2. Any candidate who fails to join the University within the agreed time frame as stated in the job offer letter without a justifiable excuse acceptable to the University will be deemed to have rejected his/her offer of employment.

3.2.9.5 Joining Entitlements for Overseas Recruitment

All candidates recruited from overseas are entitled to the following benefits at the time of joining the University.

- Salary advance for one month deductible from the same month's payroll or repayable over a period not exceeding two months.
- Hotel accommodation for a maximum of 9 days if the new recruit is single and a maximum of 14 days if married and his/her family is accompanying the employee. The hotel selection will be determined in accordance to the employee's band and grade entitlements.
- Extra personal luggage from the nearest airport of the hometown of the employee based on actual receipts, as follows:
    - Executive Management Band: 200 kg for the employee, 100 kg for spouse & 25 kg for each eligible child.
    - Management & Senior Professionals Band: 150 kg for the employee, 75 kg for spouse & 25 kg for each eligible child.
    - Supervisory, Professionals & Skilled Band: 100kg for the employee, 50 kg for spouse & 25 kg for each eligible child.
    - Clerical, Semi-Skilled & Support Band: 50kg for the employee only.

3.2.9.6 Joining Procedure

1. A copy of the job offer needs to be signed by the employee, as indication of acceptance of the terms and conditions of the employment.
2. In case the candidate is not residing in the country, it will be the responsibility of the Human Resources Department to ensure that the visa and/or residential permit (as may be applicable) are processed for the candidate.
3. Human Resources Department must open a new record for each employee.
4. Human Resources Department will provide the candidate with a University Identity Card.
5. Government Relations Department must secure a work license & residence permit (Iqama) for new expatriate employees hired from outside the Kingdome within 90 days from the date of their arrival.
6. The employee should carry the Identity Card with him/her at all times at during.
7. The Identity Card will be used as identification on all internal forms and documents.

3.2.9.7 Employee's Orientation & Induction

1. All new employees will receive a Departmental Induction training designed to equip them with Department and job specific information necessary to assist them to settle into their new job roles as quickly as possible.
2. New employees at Management levels may be subject to an individually tailored orientation programs.
3. Human Resources Department together with other functional areas will provide a comprehensive orientation program (Orientation Check-List) to new employees in order to make new employees aware of the University policies, work culture, compensation and benefits, general safety regulations, University's business ethics and conflict of interest policies.
4. The immediate supervisor of the employee will participate in this orientation program to brief him/her about general working conditions and any other job related information.

3.2.9.8 Probationary Period

1. The probation period is required to monitor and evaluate the new recruit in order to assess his/her performance and decide on whether or not the new recruit meets the requirements of the job and University's standards.
2. All newly hired employees have to undergo a 3-month (90-days) probationary period also referred to as the trial period. This probationary period can be extended by the University to up to 90 additional days with the approval of the employee.
3. Probation Period for all employees will commence on the first day of their work commencement.
4. The probation period does not include Eid Al-Fitr, Eid Al-Adha and National Day holidays or any other leaves.
5. The probation period will be clearly stated in the offer letter and employment contract.
6. Other than in case of emergencies, the employee shall not be entitled to any kind of leave during the period of probation.
7. No promotion, salary increase, and bonus, will be granted for employees while they are under probationary period.
8. The concerned supervisor will submit a probationary report (Probationary Period Evaluation Form) before the end of the probation period outlining the new employee's performance assessment during the probation period. The probationary report shall form the foundation of the employee' confirmation or termination from the University. HR Dep. will send the form to the supervisor 20 days before the end of the probation period. Supervisor has to finalize it and send it back to HR in a timely manner. HR should inform the employee with the decision 10 days before the end of the probation period ends.
9. The University or the employee can terminate the employee's employment contract during the period of probation for any reason whatsoever without notice.
10. Upon successful completion of the probationary period, an employee shall acquire status and all the conditions and privileges of a non-probationary employee.
11. Human Resources Department is responsible to follow up and monitor probationary periods effectively.

3.2.9.9 Recruitment & Selection Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Pre-Recruitment		
Concerned Deans of Colleges / Division Heads(CDH)	1.Submits Recruitment request 2.If the positions is not available, then Justifies request for new position & submits to R&SM	
Operation Manager	1.Compares required position against organization structure & manpower plan to validate position availability. 2.If the positions exist, then checks availability of internal candidates against job description and specifications 3.1 If Internal candidates available, then follow Internal Sourcing Procedure 3.2 If an Internal candidate is not identified, then follow the External Sourcing Procedures.	
Internal Sourcing		
Recruitment Officer	1. Reviews internal sources to find suitable candidates 2.1 If the resources is available, then follow Screening Procedure 2.2 If the resource is not available then prepares internal vacancy advertisement for distribution for all employees 3. Reviews and approves advertisement 4. Distributes advertisements through bulletin boards, emails and intranet 5. Receives internal applications 6. Extracts employee data from HR database, then follow Screening Procedure 7. During Screening, if suitable resource is identified, then follow Appointment Procedure, otherwise, follow External Sourcing Procedure.	
External Sourcing		
Recruitment Officer	1. Searches external applicant CV database to identify suitable applicants 2. If suitable applicant is identified then follow Screening Procedure, otherwise, identifies appropriate external recruitment mechanism (recruitment agency, newspaper, universities and job advertisement) 3. Prepares position specification or job advertisement 4. Reviews and approve job advertisement or job specification 5. Submits position specification or job advertisement to identified recruitment sources 6. Receives applicant CVs	
Screening		
Recruitment Officer	1. Reviews applications and received CVs against screening criteria & position requirements 2. If the CV does not match JD with criteria then reject CVs or applications and maintains them in HR data base if suitable for future reference & sends rejection letters 3. Otherwise, prepares shortlist of selected applications and send to HR Operation Manager for approval. 5. If the recommendations are not approved, then rejects CVs or applications and maintains in HR database. 6. Otherwise, finalizes shortlist of applicants 7. Schedules interviews with applicants as recommended	
Operation Manager	- Reviews short list of applicants & make recommendations	
Selection		
HR Operation Manager	1. Performs required tests to candidates 2. If the candidates don’t pass the tests then remove from list. 3. Otherwise, schedules candidates’ interviews with Interviewing & Selection Committee. 4. Reviews final selection list, interviews and tests results 5. Performs references, checks to know about applicant’s past experience	
Interview & Selection Committee	6. Conducts interview with candidates 7. Selects and approves final candidate list	
Appointment		
HR Operation Manager	1. Determines grade, salary & finalizes the offer letter and discusses with concerned manager 2. Prepares job offer letter based on salary scale, concerned department head recommendations & attach all documents and gets it approved by HR Director 3. Submits offer letter to candidate 4. Prepares employment contract & obtains HR Director's signature. Completes required appointment procedures 5. Determines the joining date 6. New Hire – Create Employee Record 7. Liaises with the Government Relations Officer for Work License and Residency Permits for foreigner Employment	

Concerned Dean of College/Division Head (CDH)	2. Reviews & approves salary & grade of candidate 4. Approves job offer 5.2 If candidate accepts the offer, then Undergo a medical examination	
Candidate	5.1 If candidate does not accept Offer, follow Selection Procedure, otherwise, follow step 5.2	
Employee Orientation		
Orientation Officer	1. Conducts Alfaisal University orientation presentation 2. Ensures completeness of all administrative issues 3. Introduces new employee to managers and colleagues	
Concerned Dean of College/Division Head (CDH)	4. Conducts new employee orientation for position requirements and procedures 5. Introduces employee to work area	
Probationary Period Evaluation		
Employees Relation Officer (ERO)	1. Sends an alert email along with Probationary Period Evaluation Form to concerned manager to initiate Probationary Period Evaluation 20 days before the end of the 3 months 7. Updates employee record	Probationary Period Evaluation Form
Employee Direct and Indirect Superior (EDS) & (EIS)	2. Conducts Probationary Period evaluation 4. If the employee does not pass the probationary evaluation period, then 4. Informs ERO to terminate employee or extend the probation period to another up to 90 days or recommend to transfer him to a more suitable position, otherwise confirms to the employee	
New Employee	3.Discusses probationary Period evaluation with direct superior. 4.If requires extension then employee has to sign for approval of extension	
Employee Transfer		
Employee Relation Personnel	1. Reviews, approves and forwards request to R&SM 7. Transfers employee	
Operation Manager	2. Verifies against manpower plan 3. Confirms with requesting department if they approve the transfer request 5. Informs receiving & requesting departments and employee when the request is approved by CDH	
Concerned Deans/ Heads (CDH)	4. Considers request for transfer	
Employees Relation Personnel	8. Updates employee record	

3.2.10 Remuneration, Compensation & Benefits

Overview

The policy covers the remuneration, allowances, benefits and reimbursements provided to employees and the rules that govern their application.

Objective

The objective of this policy is to maintain employees' remuneration, allowances, and benefits at a level sufficient to attract and retain staff of the caliber required for achievement of the University's business objectives, and to motivate employee performance and development by relating the financial rewards of each employee to the value of the employee's contribution to the success of the business.

Policy Details

It is the responsibility of the Human Resources Department to:

1. Administer pay programs equitably and in accordance with line of business goals and parameters, and recognize individual performance on a timely basis.
2. Ensure that salaries are administered appropriately within the salary grade associated with particular jobs.
3. Understand the overall remuneration, allowances, benefits policies and how the application of these policies can vary depending on the job calls and salary grade to which a position is assigned.
4. Conduct regular external salary surveys as tools to determine the salary levels and benefits required to attract and retain its employees based on market competitiveness.

3.2.10.1 Mode of Salary Payment

1. Salaries are paid on monthly basis in Saudi Arabian Riyals by bank transfer to employee's designated bank account.
2. For salary payment, a calendar year is deemed to contain 360 days, and a calendar month to contain 30 days.
3. All employees shall receive slips/statements showing components of their salaries and amounts after the transfer of their salaries to their banks' accounts. The salary slip is available in the HR Self-Service Portal where employees can review, print and download the copies.

3.2.10.2 Remuneration, Allowances, and Benefits Structure

The structure of remuneration, allowances, benefits for all employees are comprised of the following components:

I. Basic Salary
   1. The purpose of this allowance is to reward employees for the professional expertise and value they bring to their jobs.
   2. Basic salary is determined and based on the University's job classification system, grading structure and salary scale, individual qualifications, past experience, and the job title / position within the University.
   3. Basic Salary is the guaranteed 12-month basic salary which usually represents the monthly salary without any other allowances.
   4. Basic salary will determine the funding of the end of service benefits, GOSI contributions, salary adjustments, merit increments and performance bonuses.
   5. All salaries due to employees are paid at the end of the value month. No salaries shall be paid outside the monthly payroll except for those employees who are:
      - Leaving the University during the month; or
      - Departing on approved leave, and require payment in advance.
   6. The employee's monthly entitlements shall be paid according to the following equation:

      No. Actual work days X (Basic Salary + other cash allowances if applicable) ÷ 30 Days

II. **Housing Allowance**
   1. The University pays housing allowance or might provide furnished accommodations and housing to assist its employees in bearing the costs of accommodation.
   2. In offering the Housing Allowance to an employee, the University reserves the right to either assign the employee to University Housing or pay him/her equivalent cash housing allowance.
   3. Employees who are not provided with actual housing will be paid a monthly housing allowance, which is equivalent to 3 months basic salary per annum or 25% of the employee's annual base salary
   4. Size of accommodation / housing varies depending on employee's grade and the size of his family.
   5. Housing allowance is subject to a minimum of SR 15,000 per annum.
   6. If a couple was hired at the Alfaisal University, housing allowance will be provided to one of the couples. It will be provided to the employee who gets the higher salary.

III. **Transportation Allowance**
   1. The purpose of this allowance is to enable the employee to cover expenses incurred in commuting to and from his/her place of work.
   2. The Transportation allowance represents 10% of the monthly base salary of an employee and is subject to a minimum of SR 500 per month.
   3. The University reserves the right to provide employees with either transportation allowance in kind or in cash. The transportation allowance mentioned above will cater for fuel, maintenance, and driver.
   4. The University may provide its executive level employees with cars for both business and private purposes.

IV. **Mobile Allowance**
   1. The university might provide the following monthly fixed mobile phone cash allowance when needed:
      - Executive Management Band: SAR 2,000

- Management & Senior Professionals Band: SAR 1,500
- Supervisory, Professionals & Skilled Band: SAR 1,000
- Clerical, Semi-Skilled & Support Band: SAR 500

2. The mobile allowance is intended to cover expenses of business-related calls.
3. The mobile allowance is a job-related allowance and will not be made available when the employee is no longer handling the assignments of the job.
4. Prior approval from the supervisor / line manager is required
5. The Human Resources Director and concerned Department Heads should review and determine all positions that are eligible for mobile phone allowance on annual basis

V. **Overtime**

1. Definition:
   An authorized payment for additional work done outside of regular working hours or over official holidays and weekends as per the Saudi labors' law.
2. **Eligibility for overtime:**
   - All employees who are employed in the following positions are not eligible to receive overtime:
     - Faculty members
     - Managerial position and above
   - Employees shall not be assigned to work overtime in the following cases:
     - During leave period
     - During Training
     - If they were late for more than (5) hours per week
3. **Responsibility of Supervisor/Manager**
   - Supervisors/Managers will assign overtime in a fair and reasonable manner, taking into consideration the needs of the unit, and the abilities, availability, and willingness of employees and overtime budget.
   - Concerned line Managers and Supervisors are responsible for managing and controlling overtime.
   - Supervisors are responsible to determine and to assign work schedules.
   - Work outside of approved schedules should not be allowed, unless approval is obtained or an emergency exists.
   - An employee who declines overtime assignments with no acceptable legitimate reason (if overtime requested was under 2 hours a day and for an urgent matter), or who works unauthorized overtime, may be subject to disciplinary action
     - Any non-exempt employee who works overtime must be compensated as per his/her basic salary at the time of overtime worked for all overtime worked. Hour rate will be calculated as *basic salary/30 calendar days*. The formula is as follows:

       Number of overtime hours × 150÷100 × Basic Salary÷240
4. Overtime Hours
   Overtime is time worked, exclusive of meal breaks, in excess of forty (40) assigned and approved hours in a standard work period of five (5) consecutive days.
   - **4.1. Time Worked**
     - Time worked for overtime purposes consists of any hours worked after work period or during weekends or official holidays.
     - The maximum allowable overtime is 2 hours a day on working days and 4 hours during weekend and public holidays. Which means that overtime worked hours should not exceed 18 hours/week.
     - Overtime should not exceed 720 hours/year.
     - Overtime payment should not exceed 50% of basic salary/week
   - **4.2.1 Overtime Pay**
     - When a non-exempt employee works authorized overtime, he or she is paid at one and a half (1-1/2) times the employee's regular rate of basic salary.
     - The University may compensate employees with additional leave days in lieu of overtime hours.

- If the overtime requested exceeds the overtime budget, it will be compensated as additional leave days in lieu of overtime hours.
- Overtime hours worked is rounded to the nearest quarter of one hour.
- The compensatory time (Additional leave days) must be used within 90 days of the date in which it was earned. If the days were not used within 90 days, they will not be cashed or carried on for the next year, neither will be considered at the final settlement.
- Exempt employees do not receive overtime pay.

5. Procedure:
   - A supervisor/Manager must authorize overtime before the start of the overtime work (preferably one week prior) and take the approval of the Head of the Department in line with the approved budget with expected hours of overtime needed. CC to HR
   - After overtime work is finished, the form will be resubmitted by the Supervisor/Manager to the Head of the Dep. with the actual overtime worked.
   - Justification of differences in requested hours and actual hours should be approved by HR and HoD.
   - After approval of the Head, request will go to HR for final approval for calculation and process then to Finance Dep. for review for final auditing
   - Overtime request should be submitted before the 15th of the next month.
   - Late submission (after more than 90 days of the overtime done) will not be processed.
   - Human Resources department: Will implement the policy and provide advice to Department Heads regarding the scheduling and utilization of staff.
   - The payroll supervisor will:
     - Monitor and review the overtime and report any abuse or miscalculation.
     - Compare between budget amount and actual amount
     - Approve the overtime. Review the attendance record to prove the extra working hours.
   - Finance department will receive and process payment of overtime in accordance to the policy.

VI. **Continuous Service Award**

1. The University provides service awards to its employees based on length of services to maximize loyalty towards the institution and appreciate employees who contribute in the form of sustained performance and continuous service.
2. For the first five years of continuous service an employee is given an award/gift equivalent to SR 3,000.
3. The amount allocated for the award / gift is increased by SR 3,000 for every five-year period of continuous service put in by the employee (i.e. 5, 10, 15, 20. 20, and 30 years, etc.).

VII. **Group Health Care Insurance**

1. The University provides medical care for its employees (who are under its sponsorship) and their eligible dependents as per University policy.
2. Health care will cover the employee and all his/her eligible dependents as per the following: for Saudis (wife and all children), for non-Saudis: (wife and three children whose ages are under 18 years. The University also covers the children of its Saudi employees up to the age of 24 years if they are still studying provided that the employee brings a certificate from concerned university/institute certifying the same.
3. For female employees, the University covers the husband if he is not working and is not covered under any medical insurance scheme.
4. Health insurance does not cover spouse and children of employees unless they are under the University's sponsorship.
5. It is known that medical treatments resulting from occupational diseases or work-related injuries are subject to the Social Insurance laws - Occupational Hazards Department.
6. For new recruits, cost of medical checkup or any other required medical examination for employment purposes or processing the Residence Permit at the time of appointment shall be borne by the University as one-time payment.

VIII. **Vacation Tickets & Exit Re-Entry Visas**

1. The purpose of this policy is to provide expatriate employees and their families with travel tickets to join their work, and leave upon service separation, and also to travel on annual leave according to the employment contract and its addendums particular to each employee and according to University's pertinent by-laws.
2. Eligibility:
    a. Non-Saudi employees
    b. The University will only provide tickets for families for employees on family status contracts covering (the employee, spouse and three children up to the age of 18 years if under the employee's Iqama (spouse or children) and who are residing permanently with the employee in the Kingdom of Saudi Arabia.
    c. Non-Saudi employees considered as Saudis in GOSI as per the following:
        1. Non-Saudi *Wife* of a Saudi (Ticket for employee only)
        2. Non-Saudi *Husband* of a Saudi (Ticket for employee and eligible dependents)
        3. Non-Saudi *Son* of a Saudi (Ticket for employee and eligible dependents)
        4. Non-Saudi *Daughte*r of a Saudi (Ticket for employee only)
        5. Non-Saudi *Father* of a Saudi (Ticket for employee and eligible dependents)
        6. Non-Saudi *Mother* of a Saudi (Ticket for employee only)
3. The expatriate employee who is still under the probationary period can bring his/her family into the country to live with him / her with prior approval from the University.
4. The spouse and up to three eligible children under 18 years of age, residing with employee in Riyadh (under Alfaisal University sponsorship, with resident visa only) will be provided most direct basic Economy round trip airfare to place of origin annually. Alfaisal University will pay the equivalent of the cost of round-trip ticket(s) for the eligible members based on quotations obtained from Alfaisal University authorized travel agent. Payment is made at the end of April and no receipts are required.
5. No reimbursements on actuals will be accepted. The University is making the payments in April in order for the employee to have ample time to make suitable summer bookings within the allotted amount issued.
6. If the employee's spouse is eligible (residing with the appointee in Kingdom of Saudi Arabia) to receive a similar allowance from Alfaisal University or another employer, annual leave ticket (ALT) is not provided for the spouse.
7. If the Employee's spouse's allowance extends to any eligible child, ALT is not provided for that eligible child.
8. If early termination of the contract after the ALT has been paid then the ALT will be deducted from the end of service benefit.
9. Alfaisal will provide one Single Exit/Re-entry Visa annually to the employee and eligible dependents. Multiple Exit/Re-entry visa can be arranged at employee's cost.

IX. **Education Assistance**

The University provides school education assistance to dependent children of its eligible employees.

School allowance is up to SR. 40,000 per eligible child per annum, up to three (3) children under the age of 18 and residing with the employee in Riyadh, under Alfaisal University sponsorship with resident visa.

- Eligible employees:
    - Employees on grade 10 & Above
    - Professorial Ranked employees
    - Senior Lecturers & Lecturers
    - Principal Instructors & Instructors
    - Laboratory/Workshop Specialists & Technicians

1. An educational allowance for KG, elementary, intermediate, and secondary education will be paid for a maximum of thirteen regular academic years for an eligible student pursuing the high school program in Riyadh. If an eligible student has already completed a number of years of elementary, intermediate, and/or secondary education before the appointee becomes entitled to an educational allowance, the educational

allowance for the eligible student is for the remaining years only.
2. The educational allowance for KG, elementary, intermediate, and secondary education will consist of payment of reimbursable expenses.
3. The following reimbursable expenses may be paid upon presentation of receipts, school registration certificate, and list of the school fees, up to a maximum limit of SAR 40,000 (forty thousand) per child:

a. Tuition fees that are invoiced directly from the school, as defined in the catalog or descriptive literature of the school in question as the charge for instruction for the course for which the eligible student is enrolled, or the cost of a reputable and internationally recognized correspondence course & examination fees, but not including the charges for summer session courses or activities that are not necessary for graduation.
b. The charges and fees for registration if any.
c. Cost of books if not included in the tuition fees. [No stationaries cost applicable].
d. Health services if directly invoiced from the school.
e. Transportation fees, to and from the school, as invoiced directly from the school or a transportation company and not from any other third-party transport service. Transportation academic year.

4. Any tuition fees, charges, or expenses not specifically mentioned here are not reimbursable.

Scholarship for Children under the Undergraduate Programs at Alfaisal University
The University provides scholarship for undergraduate programs at Alfaisal University to dependent children of its eligible employees.
Children should be below 28 years of age and fulfil academic criteria for University Preparatory Program (UPP) or direct admission to Alfaisal University.

Eligible Employees

GROUP	Minimum Years of Service	Eligible Children
A*	5 Years	1 child at a time
B*	3 Years	2 children at a time
C*	Immediate	3 children at a time

- (A)Admin. Employees
- (B)Senior Lecturer, Lecturer, Principal Instructor, Instructor, Laboratory/Workshop Specialist & Technician
- (C)Professorial Rank

Scholarship for Dependents Graduate Programs at Alfaisal University
The University provides scholarship of 50% on all graduate programs for all employees' dependents.

Employees' Scholarship for Graduate Programs at Alfaisal University
The University provides scholarship for all its employees at graduate programs as per the following:

- Minimum 2 years of service at Alfaisal University.
- Employee can select one of the following suitable options:
  a. Full scholarship for two years, after commitment from the employee to the university to work four years without requesting increment in salary or financial benefits.
  b. 50% scholarship, after commitment from the employee to the university to work two years without requesting increment in salary or financial benefits.
  c. 20% Scholarship with extension of study duration until four years after commitment from the employee to the university to work two years without requesting increment in salary or financial benefits.
- Terms:

A. Fulfil Admission Criteria.
B. and, applicable once the minimum program cohort is achieved.

X. **Social Insurance Scheme**

1. The Saudi Arabian Social Insurance Law provides annuity, death and disability benefits to eligible participants.
2. Employee's enrolment in the General Organization for Social Insurance (GOSI) and pension funds will be governed by GOSI regulations.
3. All employees are required to participate in the scheme.
4. University and employees' contributions and computation for Social Insurance should be in accordance with concerned rules and requirements of GOSI, which is:
   - Saudis: University contributes 11% of the employee's monthly salary from (Basic salary and Housing Allowance) for its Saudi employees, 2% of which covers work related injuries and the remaining 9% is utilized for retirement benefits. Whereas the employee contributes 9% of his/her monthly salary (Basic + Housing Allowance) for retirement benefits.
   - Saudis: University contributes 0.75% of the employee's monthly salary from (Basic salary + Housing allowance) for its Saudi employees. The employee contributes another 0.75% of his/her monthly salary (Basic + Housing Allowance) for Saned contribution.
   - Non-Saudis: University contributes 2% of salary from (Basic salary and Housing Allowance) on behalf if its non-Saudi employees to cover for work related injuries.
   - The maximum monthly wage subject to GOSI contribution is SR 45,000 whether provided in cash or in kind.
5. Government Relation Department is responsible for processing GOSI contributions as well as administering and monitoring GOSI records.
6. Occupational diseases or work-related injuries are not covered in the University's health care policy but these are covered under GOSI.
7. All work related diseases or injuries should be immediately reported to the Human Resources Department within 24 hours of occurrence in order to complete the required GOSI form and report such incidents to GOSI Office within the allowed time frame.
8. Human Resources Department is responsible to update employees' GOSI records and assumes full responsibility to update the applicable policies for any changes in GOSI rules and regulations.

XI. **End of Service**

1. All employees are entitled to End-of-Service Benefits (EOSB), which are set in accordance with the Saudi Arabian Labor Law.
2. Employees are not eligible for end of service benefits if the University terminates their services in accordance with Article No. 80 of the Saudi Arabian Labor Law.
3. End of service benefits are calculated on the basis of the entire length of an employee's service, with each month adding on to an employee's entitlements.
4. End of service benefits are calculated as follows:
   - Half month's pay for each of the first continuous five (5) years of service.
   - One month's pay for each continuous year exceeding five (5) years of service.
5. The employee is entitled to an end of service benefits for fractions of a year in proportion to his/her service period during that year.
6. Employees will be due their entire end-of-service benefits on final settlement in the following circumstances:
   - On completion of service as stipulated by the employment contract
   - On cessation of employment for any reason outside the employee's control, including call-up for Saudi Military Service.
   - On termination of employment for any reason not specified in Article No. 80 of the Saudi Arabian Labor Law.
7. If an employee with a fixed-term contract period resigns giving the minimum thirty (60) day notice, his/her end-of-service benefits shall be calculated as follows:
   - The employee shall not be entitled to any end of service benefits if his/her service period in the University is less than two (2) years.

- If his/her length of service is between two (2) and five (5) years, he/she will be entitled to one third of the benefits.
- If his/her length of service is between five (5) and ten (10) years, he/she will be entitled to two-thirds of the benefits.
- If his/her length of service has been ten (10) years of more, he/she will be entitled to the full end-of-service benefits.

8. The last month gross salary for the above award is composed of basic salary, cash housing allowance and cash transportation allowance.
9. End-of-service benefits will be only released once the employee has completed the clearance form and signed the receipt of Final Settlement. For non-Saudi employees: If going on Exit Only visa, the employee gets the end of service after finishing the clearance form and before departing from Saudi Arabia. If the employee is transferring the sponsorship, end of service will not be paid until employee finished the clearance form and transfers his/her sponsorship.
10. Encashment of the balance of any unused vacation days is included in the computation of end of service benefits.
11. In the case of an employee's death, the University will pay the employee's EOSB as per the Saudi Arabian Labor Law.

Allowance & Benefit Claim Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Concerned Employee	1. Fills up the Benefits Expense Claim Form (E-Form) for; • Housing allowance in advance. -Only up to 3 months is approved for existing staff, -only 06 months is approved for newly appointed staff. • Salary in Advance -Applies only for newly appointed expatriate employees. • Vacation Benefits (salary for the Annual Leave period) -Applies only for existing Admin. Employees. -Annual leave application must be pre-approved. -Only one (1) month salary in advance is approved. • Education Assistance: -Applies only for eligible employees. -Requires to upload supporting documents online and handover the originals to HR Dep. for further process. • Reimbursement(s)or Relocation for expenses: -Requires to upload supporting documents online and handover the original documents to HR Department for further process.	E-form through HR Self-Service Portal
Employee's Direct Supervisor	2. Reviews and approves the form and obtain the department head approval	E-form through HR Self-Service Portal
Department Head Approval	3. Reviews and approves the form and forward to obtain the HR Personnel approval	
Human Resources Personnel	3. Reviews the compliance of the approved request with policies and procedures and verification of allowance or benefits eligibility. 4. Verifies the form and all supporting documents based on individual employee eligibility and forwards the form for review and approval by the Human Resources Director.	E-form through HR Self-Service Portal
Human Resources Director	5. Reviews and approves the allowance and benefit forms and forward it to the Payroll personnel for processing	E-form through HR Self-Service Portal
Payroll personnel	6. Adjusts the payroll or makes the payment against the approved allowance and benefits form	E-form through HR Self-Service Portal

3.3 Performance Management System

Overview

This policy covers the rules, standards and guidelines that govern the University's philosophy of managing performance of individuals, providing performance feedback, planning personal development and performance increments and rewards applicable to University's employees.

Objective

The objective of Performance Management System is to drive individual performance, facilitate employees' personal and career development, training needs, merit increments and performance bonuses, promotions, managing poor performance, transfers, and disciplinarily actions.

Policy Details

1. The University uses performance management as a powerful tool to translate its business plans into actions and to develop the organization culture necessary for realization of the business strategy and objectives. The performance assessment system will cover all full-time permanent employees.
2. Department Managers and Supervisors have an obligation to set performance goals and their relative weight to their employees in line of the position's critical job accountabilities, competencies and performance.
3. Managers discuss and explain their objectives, performance factors, competencies, measures and their relative weighting with their employees.
4. Department Managers and Supervisors have the ultimate responsibility to ensure that the development of employee's goals and measures are well tied to the overall institutional and departmental goals.
5. Department Managers and Supervisors monitor performance and communicate openly with their employees throughout the performance cycle.
6. Employee performance shall be assessed on ongoing basis and the overall performance must be consolidated at the end of the year.
7. Performance appraisal should be carried out in an open, fair, frank and orderly manner and be seen as a positive experience for the employee being assessed and the reviewer.
8. To be eligible for the annual performance review and promotion, an employee must have been with the University for at least six months.
9. Although Alfaisal University does not support the concept of an employee having more than 1 supervisor, but if an employee worked under the supervision of more than one manager, feedback should be sought and consolidated from multiple sources and ratings will be prorated in accordance with time spent with each manager.
10. Performance appraisal shall be officially evaluated once a year at the end of the March, regardless of when the employee starts.
11. Human Resources Department should ensure that performance goals and targets are aligned with University targets and expectations.
12. Human Resources Employee Relations Officer should ensure that each employee is receiving his/her performance review on time.
13. Both the manager and the employee should sign the performance appraisal template.
14. The performance appraisal system should be continually reviewed, monitored and enhanced by the Human Department to meet the demands and requirements of the University's business plans and goals.

3.3.1 The Performance Appraisal Cycle

Performance Management Process (PMP) is not a once-a-year activity. It is rather a continuous, three-phase cycle of planning, managing, and reviewing performance. Within each phase, the supervisor and the employee will both have responsibilities. Each year, Supervisors will be required to conduct annual performance reviews on their employees.

- **Planning Phase:** The process starts in April each year. The employee and supervisor review objectives from the operating plan for their department, division, or college and determine how the employee will contribute. The supervisor and employee work together to develop and document key work goals and performance expectations for the coming year.
- **Develop and Manage Performance:** The performance plan provides a standard for measuring individual progress throughout the year. The PMP also provides objective criteria, or 'Elements' to ensure performance expectations are clear. Throughout the cycle, supervisors and employees will track and document progress and accomplishments as they occur and revise plans as necessary during performance review meetings. The Development plan should be used during this period to assign development goals based on identified improvement suggestions. These performance review meetings should be held once every quarter. Surprises will be eliminated if employees have already received clear and consistent feedback during periodic performance review meetings with their supervisors.
- **Evaluate Performance (End of the Year):** In March, at the end of the annual cycle, the information obtained during the year is gathered together, including employee self-assessment and multi-source feedback data. The data is summarized to develop a complete assessment on what has been accomplished, and how results have been achieved. Supervisor and employee review and agree on final performance results.

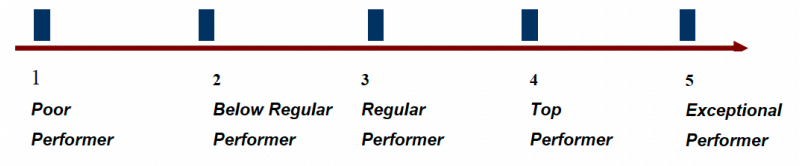
3.3.2 The Performance Appraisal Methods

1. The University's Performance Appraisal System is a combination of three appraisal methods applied to three different job categories, these methods are:
    - **Performance Objectives:** The statements that describe job specific and measurable actions to be achieved within a set timeframe.
    - **Performance Factors:** Performance factors are pre-defined competencies that are used to assess the performance of employees. The Performance Factors are generic pre-defined factors to capture the most important performance criteria of the job. These Performance Factors can be changed as the direction and strategy of the University changes, accordingly the most relevant competencies are measured and reinforced.
    - **Competencies:** The Knowledge, Skills, Abilities, and Behaviors necessary to perform a job effectively. Employees' competencies are assessed simply in terms of the displayed level of competencies in carrying out their job tasks and responsibilities
2. The following table shows these components and the targeted level of employees, their job grades, weights and corresponding performance appraisal forms.

Job Category	Job Grades	Appraisal Methods	Weighted Percentage	Related Forms
Executive Management (EM)	14-16	Management by Objectives (MBOs).	65%	Executive Management Performance Appraisal (Grades 14-16)
		Predetermined Performance Factors	35%	
		Competencies	Not Applicable	
Management & Senior Professionals (MSP) & Supervisory, Professionals & Skilled (SPS)	6-13	Management by Objectives	40%	Management & Senior Professionals Performance Appraisal (Grades 6-13)
		Predetermined Performance Factors	60%	
		Competencies	Not Applicable	
Clerical, Semi-Skilled & Support (CSS)	1-5	Predetermined Performance Factors	100%	Management Performance Appraisal (Grades 1-5)

3.3.3 Rating Scale

1. The sum total of the individual ratings against each factor determines the overall assessment score.
2. The overall assessment of the employee's performance in the annual assessment report is marked with one of the following rating scales based on the total assessment score.
3. Employee performance rating will be on a five-point scale, these are:
    - **Exceptional Performer (EP):** The employee has far exceeded his/her agreed objectives and performance standards. 120+. Exceptional Performer should not exceed 5% of total headcount.
    - **Top Performer (TP):** The employee has consistently met his/her objectives to the agreed performance standards. In some cases he/she has achieved more than his/her agreed objectives and to a higher standard than expected. 100 -120%. Top Performers should not exceed 30% of total headcount.
    - **Regular Performer (RP):** The employee has achieved the agreed objectives to the agreed performance standards. This is the minimum performance expected from every employee in the University. 90-99%. Regular Performers should not exceed 40% of total headcount.
    - **Below Regular Performer (BRP):** The employee has met some or most of his/her objectives to the expected performance standards. In a few areas he/she did not meet his/her objectives and / or agreed standards. 70-89%. Below Regular Performers should not exceed 20% of total headcount.
    - **Poor Performer (PP):** The employee has not met most or all of his/her objectives and expected performance standards. If this level of performance continues, the employee should be managed out. Below 70%. Poor Performers should not exceed 5% of total headcount.
4. Employee performance will be assessed against each performance objective / factor in the performance appraisal. Employees will be rated against relevant criteria between levels 'Exceptional Performer' to 'Poor Performer' in accordance with the definitions of levels of achievement given in the forms applicable as per the grade.



3.3.4 Employee Self-Assessment

1. Employees must complete their self-assessment portion of the Performance Appraisal Templates based on their achievements during the entire performance appraisal period.
2. Concerned managers and supervisors must ensure that their subordinates have completed the self-assessment portion of the Performance Appraisal Template before conducting the final end of year appraisal meeting.

3.3.5 Review of Performance Appraisal Ratings

1. Performance ratings will be reviewed by the next higher authority with an objective of ensuring fairness and uniformity of evaluation standards.
2. The Dean of Colleges / Division Heads will have to review the performance rating to ensure fairness and uniformity of evaluation standards.
3. Human Resources Department has the authority to harmonize and ratify the performance ratings.

3.3.6 Performance Appraisal Grievance

1. Employees have the right to voice performance grievances through the grievance handling process.
2. If an employee disagrees with his/her performance appraisal rating and cannot resolve the disagreement with his/her immediate supervisor, the employee may initiate a grievance request.

3. No employee shall suffer from any unfair treatment because of the fact that he/she has presented a grievance or complaint under the provisions of this policy.

3.3.7 Development Plan

1. Immediate Superior of the concerned employee is accountable for ensuring that the personal development plan is defined as part of the performance dialogue.
2. Personal development plans should highlight employee's strength as well as areas for improvement.
3. Personal development plans are critical inputs in designing training requirements and determining training priorities.
4. If an employee worked under the supervision of more than one superior, personal development plans will be consolidated from multiple sources.
5. Human Resources Department is responsible for reviewing employees' development plan, defining ways of implementing employee development plan through proper training, more responsibilities, etc.
6. Human Resources Department shall include the employees' development plans as part of the University's overall training plans and budgets.

3.3.8 Performance Increments

1. Performance salary increase will be considered annually following the completion of performance appraisals in order to recognize good performance.
2. The University rewards efficient and highly productive employees and provides salary increments as applicable.
3. The decision to award increments will be dependent upon the employees' annual performance appraisal ratings.
4. Increments will be given only when the performance rating of the employee is at least Regular Performer (RPs) and above.
5. Increments will be awarded to employees based on the summary recommendation prepared by the Human Resources Department in line with the University's Compensation Structure and approved as per the Delegation of Authority Matrix.
6. Increment shall not be granted automatically to an employee because he/she has been in a position for a lengthy period of time. A salary increase must be earned through proven track of good performance.
7. Performance increments (If any) shall be effective from the1st of Sep. of every year.
8. Performance increments shall not exceed 10% of basic salary. In case a more percentage was requested, it should be for valid reasons with documentations and should be recommended from the Director/Dean, reviewed and recommended from HR Director, recommended from the VP of Administration and Finance and approved from the President.
9. Only employees who have completed six months as of 31st of Aug. are entitled for performance increment for the same year.
10. The overall salary after merit increments should not exceed the position's grade salary range.
11. Performance increments will automatically increase in housing and transportation allowances.
12. A salary may be adjusted for certain employees after successful completion of a probationary period provided such increment had been specifically provided for in the initial offer letter or the employment contract. Approval of such increments should be dealt with as per the Delegation of Authority Matrix.

3.3.9 Performance Appraisal Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Performance Planning		
BOT & President	1. Reviews and confirms mission, vision statements, core values and strategies 2. Develops Strategic performance goals, priorities and initiatives	

RESPONSIBILITY	PROCEDURE	REFERENCE
VPs & Deans	3. Develops and finalize annual business plan 4. Develops colleges/divisions goals and measures 5. Presents colleges/divisions goals and measures to CLM/S	
Concerned line Manager / Supervisor (CLM/S)	6. Develops employee objectives and performance measures	
Objectives Setting		
Human Resources Director (HRD)	1. Notifies of CVD of the commencement of the performance appraisal cycle and the setting of performance objectives 2. Sends the Performance Objective Setting and Progress Assessment template to CVD	
Concerned VPs / Deans (CVD)	3. Distributes PA 01 to concerned line managers and supervisors 4. Directs CLM/S to set objectives and measures for subordinates	Performance objectives setting and Progress Assessment Form
Concerned line Manager / Supervisor (CLM/S)	5. Reviews JD, KPMs and competencies and prepare a draft for the employees objectives and performance measures 6. Notifies and meet with their employees to discuss, clarifies and familiarize their job objectives and measures. 7. Documents the Performance Objective Setting and Progress Assessment Template 10. Signs the employees Performance Objective Setting and Progress Assessment Template	
Concerned Employee	8. Acknowledges performance objectives & measures 9. Signs the Performance Objective Setting and Progress Assessment Template	
Performance Progress Assessment		
Concerned line Manager / Supervisor (CLM/S)	1. Prepares and informs the employees about the performance progress meeting 2. Conducts quarterly and semi-annual performance progress assessment meeting with the employees 3. Reviews, assesses and records any comment on employee performance using PA01 template 4. Signs the Performance Objective Setting and Progress Assessment Template 5. Develops and document individual action plan for the next period in case the performance objectives were not achieved.	Performance objectives setting and Progress Assessment Form
Employee	6. Acknowledges and sign the performance progress assessment and action plan	
Performance Appraisal Review		
Human Resources Director (HRD)	1. Notifies concerned VPs and Deans of the commencement of Performance Appraisal and Individual Training Needs	
Concerned VPs / Deans (CVD)	2. Directs and advises line managers / supervisors to commence the final end of year performance appraisal phase	
Line Managers / Supervisors	3. Requests employees to complete the self-assessment portion of the PA 02, 03, 04 and agrees on the date of performance appraisal meeting 5. Reviews employee's performance, achievement and completes their evaluation. Highlights the areas of improvements 6. Meets with the employees to complete and discuss PA & TRN forms with employees 9. Signs final Management Performance Appraisal and Individual Training Need and send it to HR department	Management Performance Appraisal Forms Individual Training Needs
Employees	4. Reviews and rates the achievements and return the forms to their line manager / supervisor 7. If the employee does not acknowledge his performance, then follow grievance procedure 8. otherwise, Signs final Management Performance Appraisal and Individual Training Need	
Monitoring & Evaluation		
Performance Management Officer (PMO)	1. Receives the Performance Appraisal Templates and the Individual Training Needs Template from the concerned line managers / supervisors 2. Reviews and analysis the performance appraisal results 3. Distributes the performance appraisal templates to the related sub-unit	Individual Training Needs. Management Performance Appraisal Forms

RESPONSIBILITY	PROCEDURE	REFERENCE
	within HR department 7. Prepares various performance reports and statistics for the executive management	
HR personnel	4. Commences the preparation of merit increases and promotions in line with the HR policies	Management Performance Appraisal Forms
Training and Development personnel	5. Commences the analysis of the Individual Training Needs Template and identifies the training courses requirements	Management Performance Appraisal Forms
Employee Relation Officer (ERO)	6. Updates the employees' master record	
Grievance		
Employee	1. Submits written complaint to direct superior about the grievance 3.2 Appeals to the employee CDH	Employee Grievance Form
Employee Direct Superior (EDS)	2. Attempts to resolve grievance 3.1.If the complaint is solved, then closes the case,	
Concerned Department Head (CDH)	4. Attempts to resolve grievance 5.1 If the complaint is solved, then closes the case, otherwise appeals to HRD	
Director of Human Resource (DHR)	6. Attempts to resolve grievance 6.1 If the complaint is solved, then closes the case, otherwise appeals to the President	
President	7. Resolves grievance with final decision, otherwise rises to the labor office	

3.4 Career Development and Succession Planning

Overview

This policy covers the preparation of a "back up" plan for any separation of individuals occupying critical faculty and non-faculty positions.

Objective

The objective of this policy is to ensure operational continuity and job satisfaction by grooming and developing potential employees, accelerating their progression opportunities and allowing them to smoothly take-over higher and key positions when the need arise.

Policy Details

The Succession Planning process serves the business by expanding the pool of available candidates from which future positions can be filled through the development of Resources from within University.

3.4.1 Career Development Key Activities

Defining the Competencies

1. Career Management Committee/Board will approve the job families and the career ladder.
2. For each job family, there shall be clear definition of the recommended competencies within each job family competency matrix.
3. Department Heads shall assume the responsibility to build awareness on the recommended competencies to their employees.

Nominations

1. Minimum eligibility for nomination to Potential Assessment is performance ratings of Top Performers (TPs) in the two preceding performance management cycles.
2. All employees who satisfy the condition mentioned above are eligible to be nominated by the concerned Department Heads for the potential assessment.

Potential Assessment

1. Career Management Committee / Board with the help of Human Resources Training & Development Supervisor shall be responsible for the design and implementation of the potential assessment process.
2. Career Management Committee / Board will carry out potential assessment process.
3. Potential assessment process shall be communicated to each of the nominees at least one month in advance along with details of the preparatory work required.
4. The potential assessment shall focus on evaluating and defining the employee's level of maturity on the competencies as defined in the competency matrix, applicable to his/her job family.
5. Number of employees through the Potential Assessment process will depend upon the pre-determined number of positions that are likely to be available within each College/Division in the next three years.

Annual Review

Career Management Committee / Board will review the progress of Accelerated Development Plan on an annual basis.

3.4.2 Identifying Key & Critical Positions

1. The Human Resources Department shall make a list of the "Key & Critical Positions" in coordination with Department Heads.
2. The list of such positions must cover all those positions where the skills are critical for the continuation of Alfaisal University operations, either at the academic level or at the non-academic level.
3. The identification of potential successors does not guarantee automatic promotion to the targeted positions.
4. The following criteria should help Department Heads to identify the key positions within their departments:
    - **Managerial positions:** Positions with supervisory responsibilities.
    - **Impact:** Positions that have critical financial or business / operational impact.
    - **Supply Shortage:** Positions that are difficult to recruit.
    - **Specialized Competencies and Critical Tasks:** Positions that require specialty or unique expertise and would stop critical action from taking place if they were left vacant.

3.4.3 Identifying Successors

1. Identifying the potential successors for each identified position requires a Committee or a Leadership Board to nominate employees who are to be considered succession-planning candidates (successors) for key positions.
2. Selected successors should demonstrate high potential/ability that should enable them to achieve success at senior and executive levels.
3. It's not necessary that a successor has to be in the same Department of the identified position.
4. At least two successors shall be identified for each of the critical positions based on the following criteria:
    - The overall performance review must show exceptional performance
    - To satisfy the minimum educational/ experience criteria required for the job/ position
    - Have been with the University for a Minimum of 2 years.

3.4.4 Developing Successors

1. Each candidate will have a detailed individual development plan (IDP), jointly developed by the candidate and his/her mentor with input from the candidate's supervisor and Human Resources Department, that reflects the candidate's developmental needs.
2. Individual Development Plans (IDP) may be reviewed by a Committee or a Leadership Board or Top Management on periodic basis.
3. The candidate's individual development plan should reflect managerial, leadership, operational, and/or other technical needs with an associated timeframe for completion. The mentor should communicate the candidate's progress to the top management / committee.

4. Succession development plans need to be very specific on what education, experience, training, targeted behaviors or skills the person should have before he/she become ready; plus, when and how the University is going to ensure they get it.
5. Succession planning development should require successors to take on special projects within / outside their current job to ensure the experience is gained as quickly as possible.
6. When preparing Succession Plans, the Committee or the Leadership Board or Executive Management should review each candidate's promotion potential in terms of:
    - Readiness for the next step and additional experience required.
    - The individual's geographic mobility (if applicable).
    - The ability of the individual to satisfy operational and business needs (as opposed to personal career ambitions) through the move being considered.

RESPONSIBILITY	PROCEDURE	REFERENCE
Position Identification		
Training & Development Supervisor /Manager	1. Supports & Notifies CDH to identify key positions for succession planning 3. Collects all initial lists of key positions for analysis and arranges for a Succession Planning Committee meeting to review, discuss and agree on the key management positions 5. Compiles final list of key positions 6. Identifies required skills, experience and competencies for identified positions and set succession criteria	List of key positions Form
Concerned Department Head (CDH)	2. Identifies key positions for all functions	
Succession Planning Committee	4. Meets to identify, discuss and agree on the key managerial and technical positions. 7. Confirms succession plan & succession criteria	
Successor Identification and Gap Analysis		
Human Resources Director (HRD)	1. Confirms the Succession Strategy of Alfaisal University	List of key positions Form
Training & Development Supervisor /Manager	2. Searches through the HR Data- base or Data Bank, skills inventory and employee files to short – list potential successors 3. Extracts performance data of all potential successors based on actual competence and level of professional excellence. 4. Identifies high potential individuals 5. Submits the list of potential successors to the CDH to review and confirm the list of potential successors. 7. Compiles a final list that contains the approved key positions, the position specifications and basic data of the nominees	
Concerned Department Head (CDH)	6. Review and confirm the list of potential successors and may assist in identifying additional potential successors	
Planning & Development		
Training & Development Supervisor /Manager	1. Analyzes successors data against key position requirements 2. Develop a draft Successor development plan and budget 4. When the plan and budget approve, then updates individual training needs analysis 5. Communicates development plans to selected successors 7. Updates employee record	Training & Development Supervisor /Manager
Succession Planning Committee	3. Reviews successors development plan and budget	Succession Planning Committee
Tracking & Review		
Training & Development Supervisor /Manager	1. Records progress on successor development plan 2. Analyzes & reports progress to Human Resources Director 5. If the key managerial positions are not available then follow planning and development procedure, otherwise go to step	Training & Development Supervisor /Manager
Human Resources Director (HRD)	3. Reviews and discusses successor progress with succession planning committee 6. Notifies Succession Planning Committee for successor readiness to assume identified position 7. Confirms appointment & update employee record	Human Resources Director (HRD)
Succession Planning Committee	4. Progresses review for all key managerial positions	Succession Planning Committee

3.5 Training and Development

Overview

This policy of this Department aims to provide understanding and guidance to the employees of the University with respect to various training and development schemes available to them.

Objective

The policy aims at continuously developing employee competencies and skills to enable higher levels of performance for achieving business objectives.

Policy details

1. The University is committed to assist employees in identifying the current and potential training and development needs.
2. All full time staff members are eligible to receive training based on University's business strategy and staff member's performance and potential.
3. A training strategy will be formulated and revised every year by the Human Resources Department. The strategy will outline the objectives and targets of training for the year.
4. Training needs will be assessed at the end of fiscal year, i.e. once a year for all employees, following the performance appraisal process.
5. Annual training calendar shall be prepared based on University wide individual development priorities and the periodic training needs assessment.
6. The University expects that each employee will regularly appraise his/her own training needs and take necessary steps to keep his/her skills and knowledge up to date.
7. Evaluation of training effectiveness will be done at the end of the training program to collect and analyze data related to training design and delivery.

3.5.1 Training Cycle

Training and development shall follow a four-stage process, as follows:

- Training needs analysis
- Training Planning
- Design and delivery of training programs
- Assessment of training effectiveness

3.5.2 Training Need Analysis

1. Identifying training and development needs, and helping individuals to improve their performance, are key responsibilities for Department managers.
2. Employees should also take part in the identification of their training needs.
3. There are different inputs used to identify training requirements and opportunities, the primary inputs are:
    - **Performance Appraisal Results:** where training is initiated when the job performance must be improved to fulfill the requirement of the current position.
    - - **Succession Planning Recommendations**: where training is initiated when the job performance must be improved to fulfill the requirement of a future position for long term successors.
    - - **Request for Promotion:** where training is initiated when an employee is or intends to be promoted to position with greater responsibilities requiring higher level or new competencies.
    - - **Business (Ad-hoc) Requirements**: training will be initiated in the following events:
        - College / Division objectives require targeted training
        - Changes in strategy, objectives and/or targets
        - Procedures are changed or new regulation affects the University's initiatives and activities
        - New technology, process, material or equipment is introduced
        - New employee is hired and requires specialty training

4. All Departments should conduct a formal Training Needs Analysis (TNA) once per year. This TNA will be the base of objective training requirements and priorities.
5. The annual TNA determines current employee skill levels, gap between current employee skill, knowledge and attitude levels, the skills/capabilities required for the future, type of required training within the University to support the achievement of business needs.
6. Human Resources Department will assist and support all concerned Department Managers in conducting and completing the training needs analysis process.

3.5.3 Prioritization of Training requirements

1. Training priorities shall be defined based on the training need analysis conducted earlier, personal development plan inputs coming out of the performance management system and the entry level manpower intake plan through apprentice and other trainee schemes.
2. Prioritize the training requirements is based on the following factors:
    - Employee's degree of proficiency for the pre-defined competency
    - Level of Impact on business
    - Alignment with the divisional / departmental objectives
    - Frequency of performing tasks that relate to missing competencies
    - Number of employees who need the same training
    - Priority level (High, Moderate, low)

3.5.4 Training Plan and Budget

1. Based upon the annual TNA, the Human Resources Department in consultation with concerned Department Managers should produce an annual Training Plan in advance of the annual budgeting process.
2. Human Resources Department should translate the training requirements into behavioral, technical and general management programs.
3. Training plan and budget for the University are prepared during July of each fiscal year for the successive year.
4. Based on the training plan, Human Resources Department shall prepare a training budget that includes a cost estimation of the following:
    - Trainer costs
    - Trainee costs
    - Certification cost
    - Facilities costs
    - Board and lodging costs
    - Travel costs
    - Licensing costs
    - Cost of development of training material, stationary, etc.
    - Other miscellaneous costs
5. The training plan and budget shall be reviewed and approved as per the Delegation of Authority Matrix.

3.5.5 Design of Training Calendar

1. Human Resources Department is responsible to develop the training calendar by listing the various programs that need to be conducted and defining the objective, participation, topics to be covered and expected results for each of the training programs.
2. Based on the availability of Resources and competence, decision needs to be taken on in-house vis-à-vis external training delivery.
3. Training design, content development and the method of training delivery for each of the programs will be finalized keeping in view the recommended objective, participation, expected results and the budget allocation.
4. Training Calendar shall have the required mix of technical training and management development initiatives.

3.5.6 Training Nominations

1. The training calendar shall comprise of both external as well as internal programs, shall be drawn based on approval of the annual training budgets and circulated to all the Department heads.
2. Each Department is expected to finalize the nominations to the programs published in the calendar within 30 days from the time they receive the calendar
3. Human Resources Department will accept the nominations on cross-referring to the employees' personal development plans.
4. Departmental Heads shall make necessary arrangements to relieve the nominated employees for training.
5. Nominee shall not be attending more than one training every 2 contractual year, unless it is ultimately necessary and shall be approved from the VP of Admin. And Finance

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3.5.7 Training Delivery & Implementation

1. Human Resources Department must confirm training commencement date with the nominee's direct supervisor prior to implementing the Training Plan.
2. The Direct Supervisor of the trainee must be aware of training commencement date so as to ensure nominee's job commitments are accomplished prior to commencing training and in order to plan for the period of time the nominee will be away on training.
3. Human Resources Department must conduct a pre-course briefing with the training delegate prior to the commencement of training delivery and hand over the Training Evaluation Template in order to assess the training contents. The course briefing should include:
    - Practical arrangements (venue, timings, duration, trainer details).
    - Training objectives.
    - Program content.
    - Evaluation criteria and review methodology.
4. Human Resources Department is responsible to confirm with the selected training provider, and finalize contractual agreements that cover fees and logistics related to training.
5. Human Resource Department must ensure a timely delivery of services that may include:
    - Flight, accommodation and transportation arrangements
    - Per-Diems and expenses
    - Visas & Permits
6. The Training Provider is responsible for delivering training activity line with the contractual agreement to ensure meeting the objectives set of the training.
7. Human Resources Department may conduct random review of the effectiveness of the training activities to ensure that professional training standards, methods and techniques are applied and ensuring an appropriate training environment and monitoring the delivery of the course.

3.5.8 Assessment of Training Effectiveness

1. In order to justify the costs of training, training activities must be evaluated to determine whether the training objectives set at the outset have been entirely achieved, and if not, the degree to which they have been achieved.
2. Trainers are responsible for evaluating training outcomes at the end of the program itself and providing written evidence of the effectives of training to the Human Resources Department by filling the Trainee Evaluation Template.
3. The trainee must also fill the Training Evaluation Template directly on the last day of the training. The purpose of this evaluation is to evaluate the trainee's response to the contents of the training course, the trainer's style, the comfort of the venue and the quality of course materials, handouts, exercises, etc.
4. Human Resources Department must collect the evaluation templates previously submitted by both the training provider and the trainee following training delivery.
5. Both the Training and the Trainee Evaluation Templates should be thoroughly analyzed by the Human Resources Department to highlight the knowledge gained throughout the training as well as to assess the overall effectiveness of the training provider for future considerations.
6. The direct supervisor of the trainee is responsible for evaluating the effectiveness of training by recording knowledge or behavior change to the workplace as a result of training activity and recording the findings within the coming performance appraisals to allow for a proper comparison.

7. All training records must be maintained within the Human Resources Department and copies should be also kept in respective employees' personnel records.

3.5.9 Overall Training Programs

1. The University provides its employees training and technical/academic educational opportunities according to its development needs and plans through the following programs:
    - Educational Scholarships
    - In-house training
    - Local training
    - Overseas Training
    - Management/Leadership Training Programs
    - Competency Based Training & Development Programs
    - Apprentice and Summer Training Programs

In-House Training

1. In-house training aims at providing the employees with experience, administrative or technical skills or conduct for enhancing their competencies and capabilities in all aspects related to their work. Such training may not result in the attainment of a particular academic qualification, yet it shall comprise courses, seminars, workshops and shall be classified as follows:
    - **Orientation Programs:** these programs aim at acquainting the new employees with the rules and regulations applicable in the University in addition to the functions and activities of the different departments. The Human Resources Department together with concerned Department Managers are responsible for delivering orientation programs for new hires.
    - **On the Job Training:** Department Heads shall prepare a training program for their employees' including the functions and responsibilities that an employee is required to perform according to his job descriptions. A quarterly report about the employee's performance will be sent to the Human Resources Department.
    - **Internal Courses:** these courses include short seminars and workshops internally organized with the help of the University's cadres or external experts.

Local Training

1. These programs are held locally in the Kingdom of Saudi Arabia and aim at providing the participants with new knowledge, skills or developing the existing skills.
2. Employees participating in training programs within the kingdom are entitled to receive per diem allowance in line with the HR Policies (refer to Business Travel Policy).

Overseas Training

1. These programs are held abroad and aim at developing the skills and acquiring new knowledge and obtaining new information related to employee's work.
2. The University provides travel time to be granted to employees training trips between 1 - 2 days before and after travel depending on destination of travel.
3. Travel days shall be decided and approved by line managers / supervisors depending on the number of training days and flight duration of hours.
4. Should a trainee employee wish that his/her family accompanies him/her, he/she shall bear all their expenses abroad during the training period and any other expenses.

Management/Leadership Training Programs

1. The management/leadership training programs have been designed to provide managers, supervisors and key personnel with appropriate skills and competencies. In particular, such programs would enable the management to develop:
    - Improved skills and capabilities of management and key line personnel
    - Development of a life-long learning culture
    - Employees' achievements and accredited qualifications

Competency Based Training & Development Programs

1. A competency based training and development program aimed at preparing employees for current and potential future positions and/or promotions in particular, such programs would assist the employees for their initiatives towards:
    - Career development & succession planning in action
    - Improved skills and abilities of employees
    - Improved productivity and work performance
2. Human Resources Department would recommend suitable development plans depending on the number of participants, availability of internal Resources as trainers and costs associated with each of the training options.

Professional Certification Programs

1. The University provides encourages its employees to attain certain professional and certification programs related to their position technical competencies and business requirements.
2. The university provides covers up to 75% of the actual fees for professional certification and accreditation.
3. The maximum number of employees enrolled in Professional Certification Programs should not exceed 5 employees at any given year.
4. On their return, employees shall be obliged to work for the University for periods equal to two times of the training duration periods of their professional certification programs or one year after training whatever is longer. If employee resigns or leaves work before he/she completes the minimum said amount of time, employee shall bear all the expenses of the training including travel, per diem or any other expenses spent from the University towards this training.

Professional Association Memberships

1. The University encourages certain levels of its Executive Management and Management & Senior Professionals employees to stay abreast of current practices and trends in areas of their specialties and disciplines.

Summer Student Trainee Programs

1. The University provides work experience to its students as well as other university and high school students during their summer vacation and compensates them accordingly as per University's Compensation Structure.
2. The program serves both as a service to the community and a source of future recruitment for the University.
3. The program duration is up to a maximum of three months.

3.5.10 Line Management Responsibilities

1. Every employee undertaking supervisory or senior responsibilities is required to acquaint his/her immediate subordinate with the means of performing the work with a view to create qualified cadres capable of assuming the responsibilities and duties of the senior positions in the absence of their occupants.
2. Each employee should train employees working with him, who are appointed in the University and provide them with all possible assistance for performing their jobs efficiently and with ability.

3. The different departments have to specify, in accordance with the directives of the Human Resources Department, the short term and long term requirements for the development of their employees. This will be carried out in the light of its latest approved activities and the planned services, new work methods, new utilities they intend to operate and levels of efficiency that are needed to operate such utilities and services.

3.5.11 Trainees' Responsibilities

1. An employee who is sent for a training course should undertake the following:
    1. Report directly to work after training. Any delay in reporting to work without permission or acceptable reasons shall subject the employees to a disciplinary action.
    2. Fulfill all the training requirements, attendance and active participation in the training activities.
2. Employees shall be obliged to work for the University for periods equal to two times of their total training duration periods, on their return from the training depending on the type, duration and cost of training provided, or one year after training whatever is longer. If employee resigns or leaves work before he/she completes the minimum said amount of time, employee shall bear all the expenses of the training including travel, per diem or any other expenses spent from the University towards this training.
3. No undertaking is required for participating in exhibitions, conferences, seminars, researches, surveys, and meetings.
4. The period of obligation to work for the University shall commence from the end of the first training of the given calendar year.
5. The University will recover the cost of training on a pro-rata basis if any employee leaves the University prior to the fulfillment of the above stated obligation.
6. The violations to the University's regulations and misconduct during the training period are governed by the disciplinary procedures applicable by the University.
7. Employees should prepare and submit a report about the training program attended by them within one week of reporting to work at the University to their direct supervisor and the Human Resources Department. The report should specify the subjects of the training program, main experiences & skills that improvement of work.
8. Employees should respect the social traditions, culture and public ethics of the host country and observe and abide by its laws and regulations, be honest and exemplary in their behaviors as a University staff.
9. Trainee must write a summary about the training course and submit it to his/her line manager and HR Training and Dev. Section.
10. Depends on the natural of the training, trainee should train other employees after he/she finishes training if needed.

3.5.12 Training Rules and Regulations

1. All employees on training within or outside the Kingdom will maintain their regular pay and benefits during the training period.
2. For employees on training, duration of training is included in work experience and end of service calculations.
3. An employee on training is not allowed to absent himself for any reason except for sickness. All other absences need to have prior approval from their respective line managers and supervisors.
4. Summer Students trainees are not entitled to any leave except in cases of emergency.
5. Apprentices are given leave according to the Apprentice Scheme.
6. Employees on training assignments are required to take the designated examinations and acquire certifications for such exams when applicable.
7. Training should be related to the job content.
8. Employees while on training should abide by University rules and regulations, code of conduct as they reflect the image of the University.
9. Trainees cannot change the place of training or the nature of training, without prior approval of the Human Resources Department.

3.5.13 Training & Development Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Training Needs Identification & Analysis		
Line Manager / Supervisor	1. Identifies the employees' training needs using individual training needs template	Individual Training Needs Template
Training & Development Personnel	2. Collects all individual training needs templates and studies the training requirements 3. Highlights the training needs for all individual 4. Summarizes all training requirements using training needs analysis system 6. Compiles final training requirements' study for planning and budgeting purposes	
Training & Development Supervisor/ Manager	5. Prioritizes the training initiatives based on meetings with the concerned Deans / VPs	
Training Planning & Budget		
Training & Development personnel	1. Translates training requirements extracted from HR System into behavioral, technical and general management programs 2. Identifies cost effective training solutions to address training requirements 7. 1If the training plan and budget is not approved, then modifies the final Training Plan after review all comments or amendments from Deans / VPs 8. If the training plan and budget is approved, then develops the final Training Plan after review all comments or amendments from Deans / VPs	Training & Development personnel
Training & Development Supervisor/ Manager	3. Discusses and coordinate different training delivery solution with HRD 5. Compiles a comprehensive training plan for each college / division using training plan	Training & Development Supervisor/ Manager
Human Resource Director (HRD)	4. Selects most appropriate solution 10. Sends final consolidated training plan to VP for Finance and administration	Human Resource Director (HRD)
Concerned Deans / VPs (CDH)	6. Reviews training plan and budget 9. Endorses the final training plan	
Training Implementation and Delivery		
Training & Development personnel	1. Schedules and confirms training with nominee's line managers / supervisors and training providers 2. Conducts a pre-course briefing with the trainees 4. Confirms with the selected provider and finalize contractual agreements 5. Liaises with responsible personnel to ensure the timely delivery of all related services (flight, accommodation, per-diems, visas and permits)	Training & Development personnel
Government Relations Officer (SSO)	3. Ensures adequate facilitation of the training.	Government Relations Officer (SSO)
Training Provider	6. Conducts a training	
Monitoring & Evaluation		
Employee	1. Completes Training Evaluation Template	Training Evaluation Form
Training Provider	2. Completes Trainee Evaluation Template	Trainee Evaluation Template
Training & Development personnel	3. Collects the filled evaluation templates 4. Analyzes evaluation forms to assess the effectiveness of provided training 5. Maintains a record of all training delivered to employees and a copy should be forwarded to ERO 7. Submits a performance appraisal template to the trainee's supervisor to assess the trainee's effectiveness	Trainee Evaluation Template
HR employee	6. Updates employee training data and record	

3.6 Work Schedules

Overview

The Work Schedules policy covers start and end of work and a description of different work schedules.

Objective
The work schedules policy envisages establishing work conditions and timings to be followed in the University as standard procedures.

Policy Details

3.6.1 Regular Schedule

The normal workweek consists of a total of (40) forty hours a week, covering (5) five days a week, Sunday through Thursday followed by two days off with pay, Friday and Saturday. The start and end hours of regular daily work will be from 8:00 AM to 5:00 PM including lunch break. The hours and days are based upon the business needs and requirements of the department, and may vary from one department to another.

Flexi-time 'sliding time' can be arranged between the employee and his supervisor. A flexi time scheme allows employees, subject to certain conditions, to vary their working hours to suit to their individual requirements. Flexi-time is subject to the operational needs of the concerned department. Flexi-time may only be taken in consultation and with the approval of the staff member’s supervisor.

- From 7:00 AM to 3:00 PM excluding lunch break
- From 8:00 AM to 4:00 PM excluding lunch break
- From 9:00 AM to 5:00 PM excluding lunch break

3.6.2 Prayer and rest periods

1. All Muslim employees will be allowed reasonable time off during work periods to fulfill their religious obligations.
2. The time period assigned for prayers and lunch should not exceed one hour a day.
3. The time duration of lunch should not be counted as part of the regular working hours.

3.6.3 Shift Schedule

The standard working hours for employees in the shift schedule is 8 hours a day, the number of days of work and rest will be as per the work cycle for operations. There will be three shifts for employees working under the shift schedule. The work timings and breaks of the shift will be determined by respective line managers and supervisors as per University’s business and operational requirement.

3.6.4 Ramadan Schedule

Working hours for employees during the month of Ramadan will be reduced to 5 hours a day, the exact work timings will be announced by the Human Resources Department. There will be no equivalent decrease in the level of salary paid to the employees and those employees who are required to work for eight hours will be compensated with two hours overtime.

3.6.5 Time keeping & Attendance

1. Administrative Employees (Grade 9 & Below) must be enrolled to the Attendance System.
2. Each employee must be present, at his/her workstation, for every scheduled workday.
3. Employees are expected to adhere to the official work schedule and are required to notify their line manager via phone in the event of absence / lateness from work for any reason such as being sick or having transportation problems.
4. The University may request its employees to sign the attendance register on arrival at work as well as on departure from work.

5. It is the responsibility of each assigned department's timekeeper to submit time and attendance form, timely, and accurately to Alfaisal University's Human Resources Department at the end of working hours of each Wednesday.
6. Department managers are responsible for ensuring the punctuality of their subordinates and to monitor their attendance.
7. The University has the full right, in the case of an employee's repeated attendance violations, to apply disciplinary actions as stipulated in the University's Code of Conduct.
8. Employees are not to enter/remain in the workplace outside the working hours unless required by professional responsibilities, and authorized to do so by their immediate supervisor.

Time Keeping & Attendance Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Employee Relations Officer	1.Tracks the attendance of the employee biweekly thru the Time Attendance System. 2.Sends the audited Time Attendance Report to each head of the department/s biweekly. 3.Receives Time Attendance reviews by department head/s for actions. 4.Submits department head/s reviews and recommendation regarding time attendance to HR Director for approval. 5.Issues Warning Letter / Absent Deductions notifications to employees and Payroll Officer as recommended by HR Director.	Attendance Management System
Payroll Officer	6. Reviews and endorses the Monthly Attendance details to the payroll system no later than 16-18th of each month. 7. Confirms receipt of the Monthly leave Report and process the employee payroll system accordingly.	ERP System

3.6.6 Absences

There are two categories of absence: planned and unplanned.

1. A planned absence must be approved in advance. Planned absences occur when an employee takes vacation or other scheduled absences. Because these absences must be pre-approved by a supervisor, disapproved. Any employee not reporting to work when a request for annual or any other types of approved leaves have been denied will be considered as unexcused / unauthorized absence and will be subject to disciplinary actions according to HR Policies.
2. An unplanned absence is usually an absence due to illness, injury, or emergency. In the event of a need for an unplanned absence, an employee should contact his/her supervisor immediately. A supervisor will determine if an unplanned absence is excused or unexcused based on proper justification and according to HR Policies. If the employee fails to contact his/her supervisor for unplanned absence within a reasonable amount of time or if the reason for absence is unacceptable to the supervisor, then the absence is considered unexcused /unauthorized and therefore unpaid and subject for salary deduction according to HR Policies.

3.6.7 Rest Days

For Employees on Regular Schedule
Employees under the regular schedule will have two days off per week, Thursday and Friday.

For Employees on Shift Schedule
Employees under the shift schedule will also have two day of rest during the week similar to employees working on regular schedule; however these will be rotated for different employees as per the published shift schedules to ensure that the operations do not come to a standstill. If shift schedule employees do not avail their rest day(s), they are entitled to be compensated for their extra work.

3.6.8 Overtime & Compensatory Days Off

- **3.6.8.1** Overview:
  An authorized payment for additional work done outside of regular working hours or over official holidays and weekends as per the Saudi labors law.
- **3.6.8.2** Eligibility for overtime:
  All employees who are employed in the following positions are not eligible to receive overtime:
  - Faculty members
  - Managerial position and above

    However, The University provides its employees in Management & Senior Professionals Bands who are not eligible for overtime pay and who work on rest days/public holidays compensatory time off for the number of such days worked subject to a maximum of 5 working days per year.

    Employees shall not be assigned to work overtime in the following cases:

    - During leave period
    - During Training
    - If they were late for more than (5) hours per week
    -
- **3.6.8.3** Responsibility of Supervisor/Manager
  - Supervisors/Managers will assign overtime in a fair and reasonable manner, taking into consideration the needs of the unit, and the abilities, availability, and willingness of employees and overtime budget.
  - Concerned line Managers and Supervisors are responsible for managing and controlling overtime.
  - Supervisors are responsible to determine and to assign work schedules.
  - Work outside of approved schedules should not be allowed, unless approval is obtained or an emergency exists.
  - An employee who declines overtime assignments with no acceptable legitimate reason (if overtime requested was under 2 hours a day and for an urgent matter), or who works unauthorized overtime, may be subject to disciplinary action
  - Any non-exempt employee who works overtime must be compensated as per his/her basic salary at the time of overtime worked for all overtime worked. Hour rate will be calculated as *basic salary/30 calendar days*. The formula is as follows:

    Number of overtime hours x 150 ÷100 x Basic Salary ÷ 240

- **3.6.8.4** Overtime Hours
  Overtime is time worked, exclusive of meal breaks, in excess of forty (40) assigned and approved hours in a standard work period of five (5) consecutive days.
  - Time Worked
    Time worked for overtime purposes consists of any hours worked after work period or during weekends or official holidays. The maximum allowable overtime is 2 hours a day on working days and 4 hours during weekend and public holidays. Which means that overtime worked hours should not exceed 18 hours/week. Overtime should not exceed 720 hours/year. Overtime payment should not exceed 50% of basic salary/week.
- **3.6.8.5** Overtime Pay
  - When a non-exempt employee works authorized overtime, he or she is paid at one and a half (1-1/2) times the employee's regular rate of basic salary.
  - The University may compensate employees with additional leave days in lieu of overtime hours.
  - If the overtime requested exceeds the overtime budget, it will be compensated as additional leave days in lieu of overtime hours.
  - Overtime hours worked is rounded to the nearest quarter of one hour.
  - The compensatory time (Additional leave days) must be used within 90 days of the date in which it was earned. If the days were not used within 90 days, they will not be cashed or carried on for the next year, neither will be considered at the final settlement.

- Exempt employees do not receive overtime pay.

3.7 Vacation & Holidays

Overview

The policy outlines vacation and holiday entitlements which are competitive, consistent with operating requirements, and in compliance with the Saudi Arabian Labor Law.

Objective

The policy endeavors to allow employees leave as per the standard rules and procedures

Policy Details

All leave applications will be submitted using the forms as per the specified leave entitlement policies.

3.7.1 Annual Leave

1. The university provides the following annual workdays' vacation to its non-faculty employees:
    - Executive Management Band: 30 Working Days
    - Management & Senior Professionals Band: 30 Working Days
    - Supervisory, Professionals & Skilled Band: 25 Working Days
    - Clerical, Semi-Skilled & Support Band: 25 Working Days

Leave Policy Guidelines

1. A new employee should have finished probation period before being eligible to take annual or emergency leave.
2. Leave days are accrued on monthly basis throughout the year.
3. The employee must complete and submit a Leave Request to his/her superior at least 15 days before his/her leave commencement date.
4. The number of leave days requested must not exceed the total number of leave days accrued at the commencement of the employee's leave. The total of accrued leave days will be rounded to the nearest whole number.
5. Employees are prohibited from working (whether paid or unpaid) during the period of their leaves.
6. Employee starting date of work is taken as the base of leave calculation.
7. Employee is entitled to compensation for the accrued days of the leave if he/she leaves the University without using his leave.
8. Annual Leave shall be requested at least 1 week before the leave starts.
9. Employee cannot take any leave before the leave is accepted and finalized

Deferring Annual Leave

1. For compelling business reasons or personal reasons only, an employee may defer all or part of his/her leaves entitlement of the current year to the following year. However, the maximum leave days that can be deferred should not exceed 20 days of non-faculty the employee's annual leave entitlements.
2. Leave deferrals must be utilized in full before end of the following year.
3. The balance of leave entitlement should not exceed 50 days at any time.
4. Leave deferral requires prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.

Week Ends and Public Holidays within Annual Leave Periods

Since leave is granted on the basis of business days, regular and week end days-off shall be not counted as part of the employee's annual leave. However, public and official holidays such as Eid Al-Fitr, Eid Al-Adha and the National Holiday are not included within the leave and shall be automatically compensated or added to the employee annual leave balance if these days fall within the annual leave.

Late Return from Annual Leave

1. If an employee, for unavoidable reasons, fails to return from his/her leave on time, he/she must notify his/her supervisor immediately of his/her delay, of the reason thereof, and of the expected date of his/her return (in writing).
2. Late return from leave requires prior approval from line manager & supervisor.
3. Upon return from leave, the employee has to report to his/her supervisor.
4. An employee who fails to comply with the provisions of the above and/or to present proper justifications to support his/her claim is liable to disciplinary action and the additional leave days will be first deducted from his/her annual leave balance if it does cover and then the excess leave shall be deducted from his/her monthly payroll.

Early Return from Annual Leave

When the employee returns from leave earlier than the stipulated period, he/she shall fill the Return from Leave Form and the rest of the days will be added to her/his balance.

Recall from Annual Leave

1. Requesting an employee to interrupt his/her leave to resume duty is against University policy. Therefore, calling an employee from his/her annual leave shall be done only on exceptional circumstances for extreme business requirements and requires prior approval as per the Delegation of Authority Matrix.
2. The employee shall be reimbursed for the transportation costs and any other additional costs he/she incurs during this recall.

Sickness during Annual Leave

1. An employee who falls sick during annual leave will not be eligible for sick leave unless the sickness requires him/her to be admitted to a hospital. In such case the employee should instantly inform his/her immediate supervisor about such sickness. The employee upon return will have to submit documentary proof of the sickness and days of sickness to be granted a sick leave. The number of authorized days for which he/she had fallen sick will be considered as sick leave.
2. Any claim for sick leave, which is not accompanied by an appropriate medical certificate and submitted within 7 days from the date of resumption of duty shall be treated as part of the annual leave, or leave without pay, as determined by the employee's line manager or supervisor and the Human Resources Director in consultation with the employee's concerned Department Head.

3.7.2 Public Holidays

1. University will grant the following recognized official holidays to its employees with full pay:
    - 10 calendar days on the occasion of Eid al-Fitr.
    - 10 calendar days on the occasion of Eid al-Adha.
    - 1 day on the occasion of the national day of the Kingdom (1st of Mizan (corresponding to the 23rd of September 23rd). If the National Day falls within a weekend, employees will have a a Friday, employees will have 1 day off on the Thursday (a day before the National Day). If it was on a Saturday, employees will have Sunday off (a day after the National Day).
2. In order to maintain operations throughout the year, eligible employees whose shift schedules require that they work during public holidays shall be paid overtime wages as per the overtime policy and Labors Law.
3. The Human Resources Department should announce details of Eid Al-Fitr, Eid Al-Adha holidays and any other public holidays.

3.7.3 Marriage Leave

1. Upon an employee's marriage, a paid leave for a period of three (5) calendar days will be granted.

2. The employee should not defer or postpone this type of leave. Hence, it should be taken on occurrence. (within a week)
3. The marriage certificate will be required to be uploaded when requesting a Marriage Leave.
4. Marriage leaves require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.

3.7.4 Child Birth Leave

1. When a child is born to a male employee during the course of his employment with the University, he shall be granted a paid leave for one (3) days.
2. The employee should not defer or postpone this type of leave for more than a week from the child birth date.
3. A birth certificate is required to be uploaded when requesting a Child Birth Leave.
4. The University shall have the right to request supporting evidence for this type of leave.
5. Child birth leaves require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.

3.7.5 Compassionate Leave

1. In event of the death of an employee's immediate family member, which is defined as his/her father, mother, brother, sister, grandfather, grandmother, wife, children and grandchildren, the employee will be entitled to a paid leave for three (5) calendar days that can be used within 2 weeks of the date of death.
2. Additional four (2) traveling calendar days will be granted to all expatriates. The employee should not defer or postpone this type of leave.
3. The University shall have the right to request supporting evidence for this type of leave.
4. Compassionate leaves require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.
5. A female employee whose husband passes away shall be entitled to a fully paid compassionate leave for (15) calendar days as of the date of death if the employee is non-Muslim. For Muslim female employees, the compassionate leave is (130) calendar days that starts from the first day of the death.

3.7.6 Emergency Leave

Eemployees are allowed an emergency leave up to a maximum of (10) work days per year, as follows:

1. It covers all other emergency situations which cannot be postponed and require the immediate presence of the employee and any other situations where the employee finds it necessary to be present.
2. Emergency paid leave requires the employee to provide proper and valid justifications.
3. Expenses associated with emergency leaves such as (tickets, visas, etc.) are paid by the employee.
4. Emergency leave require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.
5. Emergency Leave cannot be carried over to the next year.

3.7.7 Hajj Leave

1. A Muslim employee will be granted a Hajj leave of not more than (15) calendar days including Eid Al Adha holidays with pay starting from the 7th day of Dhu Al Hijjah according to Um al-Qura calendar once during employment with the University.
2. Only Muslim employees who have completed at least two (2) years of continuous service with the University are entitled to Haj leave.
3. In order not to interfere with the work schedule, this leave maybe granted to a specified percentage of Muslim employees depending on with work and business requirements.
4. Hajj leaves require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.

3.7.8 Examination Leave

1. The Examination Leave shall be granted for the final exams only. It will not be granted for any monthly exams or any other kinds of exams.
2. An employee who is pursuing his/her studies at an educational school, institute or university and is required to sit for an examination shall be granted leave with full pay for the actual number of days of the examination.
3. To be legible for this leave, an employee should not be re-appearing for examinations, it should be his/her first attempt and his/her enrolment in the institution / university should have prior approval from Director/ Head of Dep. and HR as per the Delegation of Authority Matrix.
4. Employee shall apply for the exanimation leave at least fifteen (15) days ahead of the exam due date.
5. Employee shall have to produce the following documents to qualify for this leave.
    - Academic Transcript.
    - Certificate of enrolment at an educational institution.
    - Schedule of Examination
    - Evidence of attendance for all days of the examinations might be requested afterwards.

3.7.9 Maternity Leave

1. A female employee shall be entitled to a maternity leave for the four weeks immediately preceding the expected date of delivery and the subsequent six weeks. The probable date of delivery shall be determined by the physician of the University or pursuant to a medical report.
2. The medical report from an accredited hospital is required to be uploaded when requesting a Maternity Leave.
3. Maternity Leave should be requested at least 2 months prior to actual leave.
4. During the Maternity Leave, a female employee will entitled for a full salary.
5. A woman may not work during the six weeks immediately following delivery.
6. When a female employee returns to work after her maternity leave, she shall be entitled to a rest period or periods not exceeding in aggregate one hour a day for a period of two years from the childbirth date for nursing her infant. Such period or periods shall be calculated as part of the actual working hours and shall not entail any deduction in her salaries. This period(s) timing shall be previously agreed upon in writing with the line manager and submitted to HR Department.
7. The female employee is required to submit appropriate supporting documents before/after the commencement of the leave.
8. Maternity leave may be combined with the employee's annual leave if was approved as per the Matrix of Authority.
9. The University shall cover the maternity and delivery expenses for its female employees as per the University medical insurance policy.
10. The University shall not terminate a female employee or give her a warning of the same during her maternity leave.
11. A female employee shall forfeit her entitlements if she works for another employer during her Maternity Leave. In such event, the University may deprive her of her full salary for the duration of the leave or recover any payments made to her.

3.7.10 Sick Leave

1. Employee should immediately report his/her sick leave to his/her Department Manager and the Human Resources Department and provide them with the necessary supporting documentation for review and considerations. This should be requested through the HRSS system.
2. An employee is entitled to a sick leave on an annual basis if he/she provides a medical report by an approved hospital that includes the number of sick days, as follows:
    - First thirty days with full pay.
    - Next sixty days with three fourth (3/4) pay.

    - Following thirty days without pay.
3. Sick leave will be granted on submission of a medical report approved by University that states the number of sick leave days. Where sickness continues for longer than 120 days in a certain calendar year then he/she will be referred to an authorized medical committee, which will decide the employability status of the employee.
4. If employee exhausts all sick leave days in a calendar year then he/she should be referred to an authorized medical committee, which shall decide the employability status of the employee.
5. Regular days off and public holidays falling within a period of sick leave are included within the leave.
6. Period for which the employee is on sick leave will be included in calculating the end of service benefits and annual leave.
7. Unpaid Sick Leave beyond 90 days is not subject to GOSI contributions by the University.
8. Any employee who suffers from kidney failure is eligible to have the hemodialysis days as sick leave days. Such employee needs to upload the medical report that indicates this.

3.7.11 Unpaid Leave

1. Unpaid leave can only be granted in extraordinary circumstances.
2. Employee is not eligible to request for unpaid leave if he/she has any annual leave days.
3. Unpaid leave has to be approved by the Department Head and subject to final approval as per the delegation of authority
4. If Unpaid Leave exceeded 20 calendar days, GOSI will be stopped during the unpaid leave.
5. Last weekend at the end of the unpaid leave will be calculated as unpaid leave.

Leave Procedure:

RESPONSIBILITY	PROCEDURE	REFERENCE
Concerned Employee	1. Employee will complete a Leave Request through HRSS	Human Resources Self Service (HRSS)
Concerned Employee's Direct Supervisor	2. Reviews and approves the leave request	HRSS
Department's Head	4.Reviews and approves the leave request and sends it to the HR Department 5.Maintain a proper schedule for leaves taking into consideration the responsibilities and requirements of each employee and monitor accrued leaves.	HRSS
HR Personnel	6.Reviews the compliance of the leave request with the policies and procedures and verifies the leave approval 7.Maintain a record of all leaves taken on the HR system 8.Contact employees when needed to clarify any unclear point or explain a procedure	HRSS
Concerned Employee	5. On the day prior to travel, employees should ensure the following procedures are completed: An email or memo is sent to all persons concerned, clearly stating the period during which they would be on leave. The message should state the return date and contact details. Provide their immediate supervisors with detailed leave notes listing all pending matters.	Concerned Employee
Concerned Employee	6. Informs the immediate supervisor in case they are sick / absent and cannot attend to the office. Completes the application request along with necessary supporting documents and send for the approval of the Department Heads after rejoining the office	HRSS
Department's Head	7. Reviews and approves the leave request and sends it to the HR department	
HR assigned Personnel	9.Reviews the compliance of the leave request with the policies and procedures and verifies the leave approval 10.Maintain a record of all leaves taken on the HR system 11.Contact employees when needed to clarify any unclear point or explain a procedure 12.Send for payroll to process	

3.8 Business, Professional Dev. & Training, Research & Conference Presentation Travel

Overview

University-approved travel is defined as transportation on Alfaisal University business in excess of one's normal commute. Alfaisal University-approved travel includes roundtrip transportation from point of origin to the

intended destination. This policy is based on pre-budgeted funds set for the list of categories of travel listed below. The university is not obliged in any way to confirm contractually to the below listed stipulations. If it is anticipated that the cost of travel activities will exceed the budgeted amount, the activities will require prior approval.

Objective
The Travel Policy is intended to ensure the efficient use of the business, professional development and training, and research and conference presentation travel funds. Approval will be granted if the request is deemed reasonable and necessary, and based upon Human Resources (HR) Policies, conducive to employee performance and academic excellence. Any additional university-related travel will require preauthorization, and reimbursement will be at the sole discretion of the approvers outlined below. It is the ultimate responsibility of the approver to ensure that travel-related expenditures represent a worthy use of university funds.

3.8.1 Planning and Budgeting for Business Travel

1. Each Department Head shall identify the number, nature, destination and cost of business travel at the start of each fiscal year. Estimated costs of business travel for various destinations shall be circulated by the Human Resources Department to assist in budgeting University's wide business travel cost.
2. Business travel plans must be approved by line manager or supervisor and as per the Delegation of Authority Matrix.
3. Human Resources Department shall make budgetary provision for business travel at the start of each fiscal year based on estimates.

3.8.2 Entitlement for Non-Faculty Members:

1. Business Travel is governed by business needs and is separate from all other defined travel.
2. Professional Development & Training is limited to once a year unless an exemption is made by the VP of Administration and Finance.
3. Invitation Travel is unlimited and the leave required to attend will fall under paid leave. However, employees must disclose fully any financial assistance included in the invitation to avoid double-funding of the travel.
4. All authorized business travel reimbursement will be covered at the rate of 100% and shall include the following: roundtrip transportation costs from origin to destination, training/ event/ conference fees, and any required membership and registration fees. In addition, a daily per-diem rate dependent upon employee rank shall be applied. Per-diem rates will cover local transportation, accommodation, food, and documentation expenses. These per-diem rates shall be inclusive of days of travel, and shall apply per person, per trip, per year.
5. Business travel for administration and faculty at the instructor, lecturer, and senior lecturer rank the subsequent per-diem rates will apply (Table 1): SR 2000 for North America, South America, Western Europe, Australia and Japan; SR 1500 for the Middle East, Asia, and travel within the Kingdom requiring an overnight stay, or exceeding a five hour drive; and SR 250 for local travel: Travel within a three-hour SR 0.50 per kilometer

Table 1. Summary of per diem rates by geographic region

Per Diem (SAR)	2000	1800	1500	250 SAR (additional mileage reimbursed at 0.50 SAR per km)
Geographic Region	North America, South America, Western Europe, Australia and Japan	Eastern Europe, Eastern Asia and South Africa	Middle East, Africa and KSA	Riyadh

6. For senior management and leadership, a per-diem rate shall be calculated on a case-by-case basis for business travel. This rate will require pre-authorization from the VP of Administration and Finance.

3.8.3 Eligibility

1. Fulltime faculty and staff applying for professional development & training should have at least three months of service prior to travel sponsored by the university and should not be in the last six months of their contract unless approved prior to any contractual adjustments. All business, research and conference presentation, grant and invitation travel are exempted from this restriction.
2. Faculty and staff who will be leaving the university under voluntary separation or are being dismissed from service within six months are not eligible for professional development & training travel support; unless the travel has been preapproved prior to resignation. All business and grant travel are exempted from this restriction.

Table 2. Summary of Eligibility Requirements for Business, Professional Development & Training, Research and Conference Presentation Travel

	Eligibility	Annual Numeration	Per-Diem	Tickets	Supporting Documents
Business	Faculty & Non-Faculty	Based on business needs	Yes	Yes	Yes
Professional Development & Training	Faculty & Non-Faculty	10/15k Once a year unless exempted by: Provost and VP of Admin & Finance	No	Yes	Yes
Research and Conference Presentation	Faculty	Two per year 10/15k each unless exempted	No	Yes	Yes
Grant	Faculty	In line with grant	No	No	Yes
Invitation	Faculty & Non-Faculty	Approval of Provost/Dean	Partial/ None	Partial/ None	Yes

3.8.4 Requirements for Business, Professional Development & Training

1. Quality of the conference(s) and activity/function will be determined by the employee's immediate supervisor, with supporting justification, and the final approval of attendance to be granted by the employee's dean or department head.
2. The following warrant the efficient use of university funds: business travel, professional development & training. Business travel will be based on business need and is not to be included in any of the aforementioned categories.
3. Expenditures should be within preapproved departmental budgets.
4. For senior management and leadership, a per-diem rate shall be calculated on a case-by-case basis. This rate will require preauthorization from VP Administration and Finance.
5. No reimbursement will be processed unless the travel has been properly preapproved.
6. For professional development & training, research and conference presentation the employee must apply by uploading all required supporting documents on the HR Portal 20 working days prior to the departure date for travel; and five working days prior for business or university- mandated travel.
7. No duplicate reimbursement is permitted for any employee of the university whose travel is supported by a third party. Expenses covered by a third party must be fully disclosed and adjustments will be made towards the total reimbursement for approved travel.
8. The point of departure and return for all university-approved travel must be determined prior to the scheduled date of departure.
9. For all types of travel, the requirements of the Finance and Human Resources departments must be fulfilled by the approver.
10. The approver of travel requests will be as follows:
    i. Academic: Immediate Supervisor, and/or Dean, Department Head or Provost
    ii. Administrative: Immediate Supervisor, and/or Dean, Department Head or VP Administration and Finance
    iii. Business/University-mandated: Immediate Supervisor and Dean, Department Head or Provost

3.8.5 Externally Funded Conference/Workshop Attendance

External Research Grants and Contracts may also be used to provide funds for conference attendance; per the approved budgets and grantor agreement policies and guidelines.

3.8.6 Non-Funded Participation in Conferences and Workshops

1. Faculty invited to conferences, workshops or institutions with costs covered by the conference or workshop organizers or foreign/external institution may travel on business leave without cost to Alfaisal University.
2. Documentation is needed from the conference/workshop management or foreign/external institution indicating that the faculty member has been invited and that all costs are covered

3.8.7 Travel Guidelines:

1. Air Tickets:
   Criteria for airline tickets will be as follows:
   i. It is preferred to use the National carrier.
   ii. Most direct route and least expensive fare.
   iii. Transferrable, refundable, arranged and purchased by the university.
   iv. Airline travel classes will be as follows:

Employee Category / Job Grades	Travel Class (Local & International)
President	Business Class
Vice presidents and members of the Council of Deans	Business Class
All other employees	Economy Class

3.8.8 Indirect Route or Interrupted Travel

Advance approval is required when an employee takes an indirect route or interrupts travel by a direct route other than for university business. Any resulting additional expenses shall be paid for by the employee. The reimbursement of expenses shall be limited to the actual cost incurred, or the charges that would have been incurred via a direct route whichever is less. Any excessive resulting travel time will not be considered work time, and will be charged to the appropriate type of leave. The employee shall be responsible for accurate reporting of such leave time.

3.8.9 Miscellaneous/Other Travel Expenses

Charges for a change in itinerary and excess baggage will not be reimbursed by the university except when there exists a reasonable explanation for the charges. Charges will be reviewed and accepted or rejected by the approver.

3.8.10 Confirmation of Attendance (Upon Completion of Travel)

Employees receiving reimbursement for business, professional development & training, research and conference presentation are required to submit a copy of the name badge; in addition to all other specified documents for reimbursement.

3.8.11 Additional Considerations

1. Travel expenses are to be reimbursed uniformly throughout the university. This policy applies to all university employees.
2. The university is not obligated to reimburse employees for expenses that do not comply with the principals of this policy.
3. Entertainment expenditures are not reimbursed.
4. When a trip is postponed or cancelled by the employee for any personal reason after the purchase of the ticket, employee can cancel the ticket or change it and give the amount that was paid by the University back

to the University with no deduction. If the trip was cancelled or postponed by the University or the inviting centre, the employee should cancel the ticket or postpone the date and send all documentations and invoices to the University to check and if approved, the employee shall not bear any of the changed ticketing expenses.

5. All costs for business communications will be reimbursed including costs to send and receive faxes, phone calls and packages.
6. All visa costs will be reimbursed.
7. The maximum limit of paid travel time to be granted to employees on business assignments will be as follows:
    - Arab Countries:
        - 1/2 day on the day of departure
        - 1/2 day on the day of arrival.
    - Other Countries:
        - 2 days on the day of departure.
        - 2 days on the day of arrival.

Business Travel Procedure

RESPONSIBILITY	PROCEDURE	REFERENCEE
Department Head	1. Nominates the names of the employees that they would like to send for Business Trip by using, Business Trip Request Form	HRSS
Concerned Employee's Direct Manager	2. Reviews the number of days required for the trip, training, meeting etc. including the resting days and decides whether the employee will arrange for the hotel or ask Alfaisal University to pay for the hotel on the employee's behalf.	
HR Concerned Personnel	3. Reviews the entitlements before forwarding the approved form to the Finance Department for disbursement of daily allowances. 4. Prepares travel arrangements including hotel bookings as per management's approval.	
Director of Human Resources	1. Checks and approves the request	
Finance Department	5. Processes and pays the total daily allowance entitled by the employee.	
Concerned Employee	6. While abroad, the employee shall inform the department head whenever there is a change from the planned schedule and seek his/her approval and the approval of the concerned employee in HR. On return from a Business trip, the employee shall submit the change of days on the HRSS.	
Department Head	7. Reviews and approves the claim before forward it to the HR Department.	
Director of HR	1. Checks and approves	
HR Concerned Personnel	8. Requests Finance Department for any recovery or payments against the total daily allowance paid.	
Finance Department	9. Recovers or pays the employee against the total daily allowance paid.	

3.9 Work Relations

Overview

The policy covers the basic principles that govern the disciplinary and grievance procedures followed by the University and standards of business ethics/conflict of interest situations.

Objective

The objective is to achieve the highest level of ethical work practices and professionalism in business. It also seeks to propagate employee satisfaction by creating an effective system of grievance handling and disciplinary procedures.

Policy Details

3.9.1 Conflict of Interest

1. All employees have the responsibility to avoid both conflicts of interest, and situations which give the appearance of a conflict of interest.
2. Employees are prohibited from having a direct or indirect personal interest in the University's contracts or projects or with the contractors doing business with the University.
3. Employees are prohibited to purchase, or influence the purchase of, goods or services from an organization in which they have a direct or indirect personal financial interest
4. Employees are prohibited to accept gifts, cash or other items of any kind, except those associated with usual business practices and courtesies and of a nominal value from persons or organizations involved with the University.
5. Employees are prohibited to utilize the University's funds for unlawful purposes
6. No employee should hold a controlling "personal stake" in another firm, which does business or intends to do business with the University; this includes holding a position, having a controlling financial stake or any form of ownership in such a firm.
7. University employees are prohibited from engaging in any trade other than their span of work as employees of the University.
8. Any employee misusing his/her position for the acquisition or acceptance of a bribe of personal benefits will be dismissed at the first offence without notice or benefits and without prejudice to proceedings of Public Prosecution.
9. Any employee not following the policies above will be dismissed at the first offence without notice or benefits.

3.9.2 Business Ethics

1. The University shall maintain the highest ethical standards in its conduct of business. It shall be honest in its dealings with internal as well as external stakeholders. The University shall avoid all situations, which can be termed as illegal or dishonest.
2. The University's records/audits shall be maintained at the highest level of integrity. Any instance of falsification will be dealt with strictly.
3. University information of confidential nature shall not be disclosed to third parties and any information regarding any other organization with which the University does business shall be kept confidential. This information might have come by the means of normal business dealings. Any such information shall be disclosed only after prior approval from the University delegated authorities.
4. In case of legal dealings confidentiality shall be maintained at all times.
5. All employees of the University are to abide by the rules of the Kingdom of Saudi Arabia during the conduct of business dealings. Any violation is considered as breach of the University policy on business ethics.
6. All employees are to show concern for the society and its customs in due course of business.
7. No employee should indulge in any sort of bribery, dishonest means to gain favors for the University. Any such actions could lead to punitive action against employees.

3.9.3 Dress Code

The dress and personal appearance of all employees should reflect a professional image. As a University, we meet people on daily basis in the course of conducting our business. The reputation of the University, as well as staff own reputation, is judged partly by our personal conduct and appearance. Employees are expected to dress in a clean and neat manner, appropriate for their respective job responsibilities and business environment.

As a general rule this means all staff members should wear business suits or local dress (Thobs & Ghotras).

Female Employees are required to wear conservative clothes and wear an Abaya or a Lab-coat over their clothes.

3.9.4 Gross Misconduct

There are certain situations in which the University considers poor employee conduct as so serious as to warrant dismissal.

The following conduct by an employee constitutes legal grounds for dismissal without end of service benefits and on condition that the employee is given the opportunity to show his reasons behind his objection to the dismissal:

1. If, during or by reason of the work, the employee assaults the employer, the manager in charge or any of his/her superiors.
2. If the employee fails to perform his essential obligations arising from the work contract, or to obey legitimate orders, or if, in spite of written warnings, he/she deliberately fails to observe the instructions related to the safety of work and University as may be posted by the University in a prominent place.
3. If it is established that the employee has committed a misconduct or an act infringing on honesty or integrity.
4. 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.
5. If the employee resorts to forgery in order to obtain the job.
6. If the employee is hired on probation.
7. If the employee is absent without valid reason for more than twenty days in one year or for more than ten consecutive days, provided that the dismissal be preceded by a written warning from the University to the employee if the latter is absent for ten days in the first case and for five days in the second.
8. If the employee unlawfully takes advantage of his/her position for personal gain.
9. If the employee discloses work- related industrial or commercial secrets

3.9.5 Sexual Harassment

The University is committed to creating and maintaining a community where all persons who participate in University programs and activities can work and learn together in an atmosphere free of all forms of harassment, exploitation, or intimidation. Every member of the University community should be aware that the University is strongly opposed to sexual harassment, and that such behavior is prohibited both by local laws and by University policies.

An employee is considered engaged in harassment if he or she intentionally:

1. harms or intimidates another person by malicious conduct;
2. subjects another person to offensive physical contact;
3. interferes with or damages the property of another person without permission or a reasonable ground to believe that permission has been granted; or
4. Subjects another person to alarm by threatening to inflict physical injury to or to cause damage to the property of that other person.

Additionally, any administrator, supervisor, manager or faculty member who is aware of sexual harassment and condones it, by action or inaction, is subject to disciplinary action.

The University will respond promptly and effectively to reports of sexual harassment, and will take appropriate and severe actions on employees that violate this policy up to and including termination of service. Supervisory personnel who are contacted by an individual seeking to file a complaint about sexual harassment in their unit or area of responsibility shall assist the complainant in contacting the appropriate complaint-receiving officials identified below.

1. **Informal Procedures**
    1. The complainant may attempt to resolve the matter directly with the alleged offender and report back to the complaint-receiving official.

2. The complaint-receiving official may notify the alleged offender of the complaint, paying appropriate attention to the need to maintain confidentiality. The complaint-receiving official may take whatever steps short of formal sanctions that he or she deems appropriate to affect an informal resolution acceptable to both parties.
3. Where the alleged offender is a student, the complainant and accused may choose to participate in mediation.
4. If a complaint is resolved informally, no record of the complaint will be entered in the alleged offender's personnel file or student records. However, the complaint-receiving official will, in the form of a confidential file memorandum, record the fact of the complaint and the resolution achieved.

2. **Formal Procedures**

   In formal resolution procedures, the written and signed complaint will be directed to the following officials:

   1. If the formal complaint is against a faculty member, other instructional personnel, or staff employed in a college, it should be directed to the dean of the college.
   2. If the formal complaint is against a staff member in a unit other than a college, it should be directed to the Human Resources department.
   3. If the formal complaint is against a student, not acting in an instructional or other employment capacity, it should be directed to the Office of the Vice President for Student Affairs.
   4. If the formal complaint is against a person outside the University (non-employee, non-student), it should be directed to the dean of the college if the behavior is occurring in a college or school, to the Human Resource department if the behavior is occurring in the work environment outside an academic unit, or to the Office of the Vice President for Student Affairs if the complainant is a student.
   5. If conflicts or other problems exist with either the dean, the Office of the Vice President for Student Affairs or the Human Resource department handling the formal complaint, the formal complaint may be filed with the Director of Human Resources, or if conflicts exist with Director of HR, individuals may consult with the Provost.

3.9.6 Non-discrimination Policy

Alfaisal University is a community of people with respect for diversity. The University emphasizes the dignity and equality common to all persons and adheres to a strict nondiscrimination policy regarding the treatment of individual faculty, staff, and students. In accord with governmental law, the University does not discriminate on the basis of race, color, religion, sex, national origin, ancestry, age, disability, or veteran status in employment or in any program or activity offered or sponsored by the University. In addition, the University does not discriminate on any basis not related to the applicable educational requirements for students or the applicable job requirements for employees. The University maintains a grievance procedure incorporating due process available to any person who believes he or she has been discriminated against.

3.9.7 Receipt of Gifts Policy

Gifts, business entertainment or other benefits are often accepted as a legitimate and recognized part of commercial life. Problems, however, arise when they begin to compromise, or even appear to compromise, commercial relationships. For this reason, employees are not permitted, as a general rule, to offer or accept gifts or other benefits from students, clients, suppliers, business partners and associates. In case a staff member accepts any gifts, he must declare the gift details, including its monetary value, in writing to his immediate supervisor under advice to the Director of Human Resources.

3.9.8 Non-Smoking Policy

The University recognizes that cigarettes and tobacco smoke is a hazard to the health of the University community. Because of the harmful consequences of cigarettes and tobacco use, both active and passive, the University has adopted the following policies:

- The University designates all buildings as smoke-free. Therefore, smoking is prohibited in University buildings including offices and hallways. This policy applies to all University buildings on and off campus.

- Smoking at outdoor events (specifically including those in the stadium) is restricted to designated areas.
- Smoking is prohibited in vehicles leased or owned by the University.
- Visitors to Alfaisal University are included under this policy as temporary members of the University community.

3.9.9 Confidentiality

1. All employees must abide by strict confidentiality rules in respect of the University business contacts and their affairs.
2. Employees should not use, divulge or communicate any such information to third parties, both during and after the term of employment.
3. Upon termination, all records and documents at the employee's procession must be returned by the employee to the University.
4. Any employee providing information and forms related to the University or associated business contacts without permission will face the following disciplinary action:
    - At first offence – written warning
    - At second offence – termination with benefits
5. Any employee divulging any secret of the University or associated business contacts will face the following disciplinary action:
    - At first offence – dismissal without notice and benefits

3.9.10 Undertaking of Other Work

1. University employees are not allowed to undertake any other full or part-time work without the approval of management and HR and as per the authority matrix.
2. Details of any honorary or semi-honorary duties undertaken by an employee must be notified to management, however as these duties are unlikely to interfere with the University duties they do not require the approval of management.
3. Any employee undertaking any other unauthorized full or part-time work will face the following disciplinary action:
    - At first offence – written warning
    - At second offence – termination with benefits

3.9.11 University Property

1. Each employee shall be held directly responsible for the safeguard of the University's funds and properties under his/her custody.
2. Negligence or deliberate misuse of University property shall be regarded by the University as a highly serious offense, and penalized accordingly
3. The use of University tools and equipment – including telephones, computers and email applications shall be restricted for official business use only.

3.9.12 Rights to Ownership-Inventions/Patents

1. Inventions made in due course of work are treated to be as property of the University. The employee will be rewarded for such an act but the usage/patent of the invention will belong to the University.
2. Special awards may be given for any extraordinary achievements made by the employees.

3.9.13 Grievance Procedure

1. Grievance Procedure deals with the effective handling of employee complaints against operational conditions or fellow employees.
2. Grievance Procedure promotes an atmosphere of employee satisfaction wherein employees can work at optimal levels.

3. The University will take severe disciplinary action against an employee if the grievance contains false accusations or is intentionally defamatory to the University, Its superiors or employees.

First Level Hearing

1. An employee must initiate his/her own complaint (a written complaint needs to be submitted to the immediate supervisor).
2. The employee shall discuss his/her grievance with his immediate supervisor. The supervisor will conduct an investigation and then reply to the employee regarding the complaint within three (3) working days (the reply may be verbal or written, as appropriate).

Second Level Hearing

1. In the event the matter is not satisfactorily addressed at the supervisor's level, then the employee may appeal to the Department Head who shall attempt to resolve the complaint within five (5) working days.
2. If the matter is not satisfactorily resolved at the Department level, then, the employee should seek the assistance of the Human Resources Operation Manager.
3. If the Human Resources Operation Manager cannot satisfactorily resolve the issue between the Complainant and the concerned party or department, then, the Human Resources Employee Operation Manager shall advise the Complainant to submit the complaint in writing to the Director of Human Resources Department.

Third Level Hearing

1. On submission of a written complaint by the employee, Director of Human Resources shall notify the concerned party / Department Head that there is an employee complaint pending.
2. Director of Human Resources will schedule a meeting for all the parties to resolve the matter. At that meeting, the Director of Human Resources functions as a neutral mediator seeking to arrive at a solution acceptable to all parties.
3. The Complainant(s) and Supervisor may bring in other fellow employee from within the University as witnesses at this point in the process.
4. The Complainer’s concerned department Head shall have three (3) working days after the parties meet to respond in writing to the complaint. In case the nature of the grievance is such that it can have implications for other employees as well, the complaint may be escalated to the higher levels.

3.9.14 Employee’s Rights as per Law

1. If the grievance or complaint is not finally settled within the University, or the employee is not satisfied with the final written decision, the employee may submit his/her grievance with the relevant jurisdiction authority according to the Saudi Arabian Labor Law.
2. In such case, it is the responsibility of the Human Resources Director or his/her representative to follow up and solve such a grievance or complaint with the government agency.

3.9.15 Fair Treatment to all Employees

1. No employee shall suffer from any unfair treatment because of the fact that he/she has presented a grievance or complaint under the provisions of this policy.
2. An employee must be allowed time off from regular duties as may be for grievance hearings without any deduction in pay.

3.9.16 Disciplinary Process

Classification of Penalties

Penalties that may be imposed on an employee shall be classified into three types:

Type I: Warnings

Verbal Warning: If an employee commits for the first time some of the offences listed in the Schedule of Infringements & Related Penalties, he/she may be issued a verbal warning by the Department Head describing the offence and advising and explaining how he/she could correct his/her conduct to avoid the offence depending on the seriousness of the offence and the other circumstances that are left to his discretion. Verbal warning could be in writing to have it included in the employees file as "Verbal Warning"

First Warning: If an employee commits for the first time one or more of the offences listed in the Schedule of Infringements & Related Penalties, he/she may be issued a written warning by the Department Head describing the offence and explaining how he/she could correct his/her conduct. A copy should be sent to HR for filing.

Second Warning: If an employee commits for a second time one or more of the offences listed in the Schedule of Infringements & Related Penalties, he/she may be issued a second written warning by the Department Head describing the offence, emphasizing the seriousness of repeated violations of University rules, and explaining how he/she could correct his/her conduct. A copy should be sent to HR for filing.

Dismissal Warning: If an employee commits for a third time one or more of the offences; he/she may be issued a dismissal written warning by the Human Resources Director describing his/her latest offence, outlining his/her previous offences, explaining how such conduct could be corrected, re-emphasizing the seriousness of repeated violations of University rules, and warning him/her that the committing of any further offence shall result in the termination of his/her service.

Disciplinary Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
Concerned Department Head (CDH)	1. Informs HR Operation Manager of need for disciplinary action	
HR Operation Manager	2. Notifies employee of offence & arrange disciplinary meeting 3. Conduct disciplinary meeting 4. Decides on violation & recommend disciplinary action & send to HRD for final decision 5. Communicates final decision to EDS & employee 6.2 If the employee accepts, then Initiates disciplinary actions / warning letter	
Employee	6.1 If the employee does not accept, then initiates the grievance procedures	

Type II: Termination of Service

Termination of Service after Prior Warning:
If an employee commits for the fourth time one or more of the offences listed in the Schedule of Infringements & Related Penalties, he/she shall be subject to termination of his/her service with payment of the notice period and end of service award.

Termination of Service without Warning:
If an employee commits one of the offences listed in the Schedule of Infringements & Related Penalties in a flagrant manner which seriously prejudices the interests of the University or its employees, - determined by the concerned department's Director and the Director of HR with possible legal consultation from an in house or out house legal advisor - he/she shall be subject to immediate termination of service with payment of the notice period and end of service award.

Termination of Service without Payment of End of Service Award:
If an employee commits an offence listed in Article no. 80 in Labors Law, his/her service may be terminated without payment of notice period and end of service award, provided the workman is given a chance to state his/her reasons for objecting to the termination.

3.9.17 Employee's Suspension

If an employee is detained or taken into custody by the competent authorities in cases related to work or occasioned by it, the employer shall continue to pay the worker 50% of the wage until the case is decided, provided that the period of detention or custody shall not exceed one hundred eighty (180) days. If said period exceeds that, the University shall not be required to pay any portion of the wage for the excess period. If the employee is acquitted or the investigation is closed for lack of evidence or invalidity thereof, the University shall return to the employee the amount previously deducted from his/her wage. However, if he is convicted, none of the payments made shall be recovered unless the judgment provides otherwise.

3.9.18 Schedule of Some Infringements Penalties Related to Working Hours:

Type of the infringement		Penalties			
		First	Second	Third	Fourth
1	Unexcused retardation (lateness) of coming to work up to 15 minutes even if it doesn't affect the work of others	Verbal warning	5%	10%	20%
2	Unexcused retardation (lateness) of coming to work up to 15 minutes and affecting the work of others	Verbal warning	15%	25%	50%
3	Unexcused retardation (lateness) of coming to work between 15 minutes and 30 minutes even if it doesn't affect the work of others	10%	15%	25%	50%
4	Unexcused retardation of coming to work between 15 minutes and 30 minutes and affecting the work of others	25%	50%	75%	Full day
5	Unexcused retardation (lateness) of coming to work between 30 minutes and 60 minutes even if it doesn't affect the work of others	25%	50%	75%	Full day
6	Unexcused retardation (lateness) of coming to work between 30 minutes and 60 minutes and affecting the work of others	30%	50%	Full day	2 days
7	Unexcused retardation (lateness) of coming to work for more than 1 hour whether it affects or does not affect the work of others	Written warning	Full day	2 days	3 days
		In addition to the deducting of late hours			
8	Leaving the work before end of working hours without permission or acceptable justification for less than 15 minutes	Verbal warning	10%	25%	Full day
		In addition to the deduction of absence hours			
9	Leaving the work before end of working hours without permission or acceptable justification for less than 15 minutes	10%	25%	50%	Full day
		In addition to the deduction of absence hours			
10	Stay at the work place or return back to it after working hours without justification	Verbal warning	10%	25%	Full day
11	Absence without written permission or acceptable justification for one day during one contractual year	2 days	3 days	4 days	Deprivation of the annual increment or promotion for one time
12	Continues absence without written permission or acceptable justification from two to six days	2 days	3 days	4 days	Deprivation of the annual increment or promotion for one time
		In addition to the deduction of absence hours			
13	Continues absence without written permission or acceptable justification From seven days to 10 days during one contractual year	4 days	5 days	Deprivation of the annual increment or promotion for one time	Termination with EOSB
		In addition to the deduction of absence hours			
14	Continues absence without written permission or acceptable justification from 11 to 14 days during one contractual year	5 days	5 days	Deprivation of the annual increment or promotion for one time and a termination warning as per article 80 in Labors Law	Termination with EOSB
		In addition to the deduction of absence hours			

Type of the infringement		Penalties			
		First	Second	Third	Fourth
15	Unexcused absence from work for more than 15 consecutive days in one contractual year	Termination without EOSB or compensation provided that a warning letter has been issued to the employee after 10 days of absence (as per Article 80 of Labor Law).			
16	Unexcused absence from work for more than 30 non-consecutive days in one contractual year	Termination without EOSB or compensation provided that a warning letter has been issued to the employee after 20 days of absence (as per Article 80 of Labor Law).			

3.10 End of Service

Overview

This policy applies to voluntary and involuntary employee separation.

Objective

The policy endeavors to ensure that end of service is handled in a consistent manner based on the type of termination.

Policy Details

3.10.1 Types and conditions for termination

Employees could be terminating under any one of the following situations:

- **Employee resignation:** Employee can choose to willfully resign from the services of theUniversity after he/she has discussed the reasons for his/her resignation with his/herImmediate Superior.
- **During Probation:** if the University finds the employee unfit during the probationary period,it may terminate the services of the employee without notice or justification.
- **Due to medical unfitness:** Employees who are proven to be medically unfit by an approvedmedical authority are liable to be terminated from the services of the University.
- **Due to offences:** Termination due to offences as listed in Types I, II and III of the Scheduleof Infringements & Related Penalties listed in Chapter 11, according to the type of theinfringements and/or Article 80 of Labors Law.
- **Non-renewal of employment contract:** Employees with specified term contracts shall benotified one as per the notice period stipulated in their employment contracts of terminationof their services from the University. In the non-specific contracts, the employee's servicesmay be terminated at any time during the contract period provided the employee is giventermination notice as per the employee's contract.
- **Due to retirement:** On attaining the retirement age of 60 years (Hijra) for Saudi maleemployees and the age of 55 years (Hijra) for Saudi female employees.
- **Breach of employment contract:** An employee is liable to be terminated when he/shebreaches a clause of the employment contract.
- **Government Directives:** an employee can be terminated in accordance with Governmentdirectives; end of service will be paid as per the said directive or as per the Saudi ArabianLabor Law.

3.10.2 Notice period

With exception to termination under Type III offences listed in the schedule of Chapter 11 above, both University and employee are required to submit a written notice of two months prior to the effective date of separation.

3.10.3 Payment in lieu of Notice Period

If either party fails to submit such a notice in due time, the University or employee as the case may be will have to compensate the other party for the requisite notice period using the employee's last salary as the basis for calculation. The University has the right not to approve the payment in lieu of notice period due to work issues if the employee wishes to leave.

3.10.4 End of Service Award

For details refer to chapter on “Remuneration, Allowances and Benefits”.

3.10.5 Termination

1. The Function/Department Head and the Human Resources Director will be responsible for managing the termination process.
2. Upon preparing the termination letter, the Human Resources Director should consult with the Legal Counselor of the University to ensure compliance with the Saudi Arabian Labor Law requirements.
3. In case of resignation, the Immediate Superior in consultation with the Departmental Head will make a decision on acceptance or rejection of the request as per the Delegation of Authority Matrix.
4. If the resignation is accepted, the Departmental Head will duly authorize the same giving the date on which the employee could be relieved from the services.
5. His/her Immediate Superior will communicate acceptance or rejection of the request for resignation to the concerned employee in writing and send a copy to direct line manager.
6. If approved, direct line manager shall send the resignation to HR Department for final approval and process.

3.10.6 Exit interview

1. The objective of the exit interview is to consolidate the employee feedback on circumstances leading to resignation, his/her feedback on policies and systems of the organization and sense of fair treatment.
2. An employee whose services are terminated due to resignation, retirement and non-renewal of employment contract will have an exit interview with the Department Head and the Human Resources personnel.
3. Feedback from exit interviews should be analyzed by the Human Resources personnel and actions should be determined to prevent noted deficiencies in the future.

3.10.7 Clearance

1. The Human Resources personnel will issue the employee whose services are being terminated with a final clearance form on HRSS.
2. Clearance form (e-form through HRSS "Separation Checklist & Clearance Management") should be finalized to qualify for end of service entitlements.

3.10.8 Service Certificates

1. Service certificate confirming their duration of employment with the University and the last position held is granted to employees leaving the University and after all dues are settled and clearance certificate is signed.
2. The University reserves the right to inform third parties, including clients or subcontractors, of the departure of an employee. This may be done directly or through advertisements in local publications.

3.10.9 Final Exit Visa

1. A final exit visa shall be prepared for every expatriate employee at the end of his/her service, unless his/her employment will be transferred to another employer.
2. If the employee wishes to transfer to another employer and the University agreed, employee loses the right for the annual flight ticket(s) for that year.
3. The expatriate employee departing on final exit shall be escorted to the airport where he shall be given his/her passport and air ticket, and the final departure certificate shall be stamped by the concerned authorities.

3.10.10 Transfer of Sponsorship

1. In the event that an employee wishes to accept a job offer from another organization, the University may approve the transfer the employee’s sponsorship, or issue the employee with a Non Objection Certificate.

2. Authorization of sponsorship transfer should be approved as per the Delegation of Authority Matrix.

3.10.11 Farewell Party

For employees who separate on conditions other than scheduled offence, their respective Departments may organize a farewell party and a memento/gift will be given to the concerned employee paid for by the concerned department's budget and approved as per the Delegation of Authority Matrix.

3.10.12 End of Services Procedure

RESPONSIBILITY	PROCEDURE	REFERENCE
End of Contract		
HR Personnel	1. Initiates the process 60 days prior to expiry of contract 3. In case of Renewal, extends/renews contract around 60 days prior to the end of contract. If not, the employee shall be notified 60 days prior to end of contract 4. HR conducts exit interview 5. Ensure completion of clearance form and release of end of service dues 6. Issue End of Service certificate	
Concerned Department Head (CDH)	2. Discusses the case and give recommendations on termination / renewal of contract to ERO and send to HR	
Human Resource Director (HRD)	4. In case of Termination, discusses case with Legal Counselor if needed	
Medical Unfitness		
Concerned Department Head (CDH)	2.2. In case of unfitness, then discusses the case and possibility of transfer with HRD & Legal Counselor	
HR Operation Manager	1. Refers the case to approved medical authority 2.1 If the employee is fitted, then employee retained 2.3.If the transfer is feasible, then transfers employee after obtaining approval of HRD, CDH and Legal Counselor	
HR personnel	3. conduct exit interview 5. Ensures completion of clearance form and release of end of service dues 6. Issues service certificate	
Human Resource Director (HRD)	2.4.If the transfer is not feasible, and termination is decided then notify employees 30 days prior to proposed date of termination	
Layoff		
Vice President (VP)	2. Estimates numbers of employees to be laid off and discuss with DHR & Legal Counselor	
Director Of Human Resource (DHR)	1. Undertakes study on manpower norms, numbers and attributes of employees based on request of the President 3. Discusses lay off plan with legal counselor and develop risk mitigation strategy	
President	5. Issues termination letters and send copies to employees Divisions	
Non Competence		
Human Resource Director (HRD) and Head of the concerned department	2. Reviews the case	
HR personnel	1. Initiates the process if the employee has rating & no sign of progress received low performance 2.1 In case of termination, Issues a termination letter and start termination process 2.2.In case of retain, issues final warning letter to employee in coordination with Department Head and monitor performance progress	
Resignation		
Concerned Department Head (CDH)	1. Upon employee resignation, CDH discusses the case with HRD 2. CDH approves the letter and specify a date for releasing the employee	
Human Resource Director (HRD)	3. Receives a copy of the authorized resignation and discuss with employee4 . ERO to conduct exit interview for employee 5. Ensures completion of clearance form and release of end of service dues 6. Issues service certificate	
Retirement		

RESPONSIBILITY	PROCEDURE	REFERENCE
HR personnel	1. Discuss the case with the head of the department 2. Initiates the process 60 days prior to the employee attaining retirement age 5. Retirement notice issued to employee & GOSI for Saudi employees 6. Conducts exit interview and send to HRD 7. Ensures completion of clearance form and release of end of service dues 8. Issues service certificate	
Concerned Department Head (CDH)	3. Authorizes the date of releasing the employee	
Human Resource Director (HRD)	4. Identifies final Retirement date	

3.11 Documents and Records

Overview

This policy provides the details of information that should be maintained as records for all employees of the University.

Objective

The policy endeavors to ensure that appropriate personnel records are updated and maintained in line with best practices.

Policy Details

3.11.1 Employee Records

1. Human Resources Administration Assistant shall maintain an individual file for each employee.
2. The employee file should contain the following documents and records:
    - A copy of Employee Data Application and Interview Assessment Form
    - The original Employment Contract, and any modification or amendment thereto such as job offer and job description.
    - Photocopies of all relevant academic certificates and CV.
    - Photocopies of all Identification Documents (Saudi National Identity Card, Personal Identification, Passport, Iqama / Resident, work permit, Family ID, Visa, etc.).
    - Copy of medical insurance and the addition to GOSI
    - Record of receiving handbooks and HR policies.
    - Original medical reports carried out as per University requirements if required.
    - A copy of the probation period evaluation e-form.
    - Copy of Performance Appraisal e-form for each year the employee has been in service.
    - Record of all planned and completed training activities, and photocopies of all training certificates.
    - Record of any Rewards or Penalties the employee has received.
    - Any change in status of employee as (Personal Action Form, Warnings, Promotions, increments, social status...etc.)
    - Record of any sponsorship the University has provided to the employee to third parties.
    - Contact details, including home address and telephone number, and emergency contact. A copy of the stamped final departure certificate.
3. Human Resources Administration Assistant is responsible for updating and maintaining employees' personal files throughout the employee's employment with the University
4. Employee records are confidential and must be maintained under the custody of the Human Resources Department.
5. Employee records should not be disclosed to individuals outside of the University without the employee's prior written authorization, except where information is required to be disclosed by law or legal process. University and his/her new employer conducts a verification of employment; Human Resources Administration Assistant is authorized to provide information upon such a request.

3.11.2 Updating or Deletion of Information in Personnel Records

1. Employees must advise the Human Resources Employee Relations Officer of any changes of address, telephone number, bank account or other personal circumstances such as changes in marital status, having new dependents, etc.
2. The Human Resources Employee Relations Officer is responsible for updating and maintaining accurate employees' personal files throughout the employee's employment with the University.

3.11.3 Review of Personnel Records

1. An employee has no right to review his/her personnel records/file unless authorized by his/her line Manager. Review of personal files should be in the presence of an Officer Representative from the HR Department.
2. The employee has no right to withdraw, alter or destroy any documents in his personal record/file.

3.11.4 Expatriate Passports

1. Passports of all University-sponsored expatriate employees shall remain in the custody of the employee throughout their service.
2. The passport shall be returned to the employee upon receiving his/her Iqama Card and other official documents.
3. The employee is responsible of checking the expiry date of his/her exit/re-entry visa and passport expiry.

3.11.5 Announcements

1. All official announcements and memos shall be sent by e-mail.

3.11.6 Inquiries about Former Employees

1. Third parties wishing to obtain information about a former employee's service in the University must address a written request to the HR Department, which is the only entity authorized to disclose information about former employees.
2. Disclosure of information about a former employee can only be done if he/she has given his/her written consent. This written consent must outline which information the former employee accepts to have divulged, and to whom.
3. Given an employee's written consent, the University will not be held responsible for any decision taken by third parties on the basis of information provided about the service of former employees.
4. Information that may be presented to third parties about the service of former employees is limited to the following:
    - First and last day of service in the University;
    - Position/s held;
    - Overall performance appraisal;
    - Last wage earned.

RESPONSIBILITY	PROCEDURE	REFERENCE
HR Administration Assistant	1. Receives offer letter, signed employee contract and action form 2. Reviews completeness and accuracy of information 3. Creates employee record and personnel file 4. Sends work commencement form to employee's direct superior 6. Updates employee record. File Approval to Hire and sends copy to Payroll 7. Requests and follows up on employee ID card & complete other related activities (medical card, email account, network access)	
Concerned Department Head (CDH)	5. Fills in work commencement form and forwards to HR Dep.	

3.12 Payroll

Overview

The University is committed to providing employees with accurate and on time payroll that encourages a relaxing and comfortable environment conducive to individual productivity.

Objective

The following policies have been developed to ensure that:

- The University discharges its payment obligation towards employees in an efficient and accurate manner.
- The University can demonstrate that it is complying with all legal or contractual requirements relating to payment and to working time.

Policy Details

3.12.1 Payroll

1. Employee payroll and related benefits are calculated from the day of joining the University.
2. Calculation of payroll and related benefits are based on Gregorian calendar.
3. For newly hired employees during a partial month, the salary should be paid pro-rata based on the actual number of days worked to the number of working days of that month.
4. Payroll and related compensation and benefits will be paid at the end of each Gregorian month. If the end of the Gregorian month falls on weekends or public holidays, the payroll will then be disbursed one day earlier.
5. Payroll and related compensation and benefits will be paid in Saudi Arabian Riyal.

The University will ensure that appropriate systems are in place to ensure that payment liabilities to employees are discharged properly, and for minimizing the potential for employees to be overpaid or paid incorrectly.

3.12.2 Payroll Preparation

1. Human Resources Department is responsible for maintaining the employees' payroll information as well as preparing the monthly payroll.
2. Payroll calculation should consider all the earnings, benefits and deductions components affecting the total payment to employees.
3. Allowances and other compensation are reflected in the payroll on the same month they are due to the employees.
4. Payroll preparation should commence at the beginning of the month until the cutoff date which fixed at the 16^{st} of each month, this will provide:
    - Early payroll processing
    - Early transfer of funds to employees accounts
    - Early reconciliation and closing of the books
    - More time to calculate, validate, and process payroll
5. Employees' payroll data are strictly confidential information and should not be shown or divulged to unauthorized persons. These should be locked in safe cabinets after office hours.

3.12.3 Payroll Deductions

1. Transactions involving deductions from employees' salary, such as GOSI contributions, and salary advances, etc. should be processed promptly for them to be reflected in the monthly payroll.
2. Nationals of the Kingdom of Saudi Arabia whose sole employer is Alfaisal University normally receive a monthly deduction from their payroll of nine percent (9%) of the sum of their base salary and housing to GOSI. Alfaisal University contributes eleven percent (11%) as an employer contribution.

3. Nationals of the Kingdom of Saudi Arabia whose sole employer is Alfaisal University normally receive a monthly deduction from their payroll of one percent (1%) of the sum of their base salary and housing to SANED {GOSI}. Alfaisal University contributes one percent (1%) as an employer contribution.
4. Alfaisal University contributes (2%) of the sum of the base salary and housing as an employer contribution for sponsored employees of any nationality. The sponsored employee is exempt from providing a contribution.
5. If an employee commits one of the offences listed in this document, he /she is liable to the appropriate penalty. The deduction can be in terms of hours or days deductible from his/her basic salary.
6. If government authorities, for a personal reason not pertaining to his/her work, detain an employee, the University will pay half of his/her fixed base salary from the date of detention for three months.
7. If the detention of the employee continues after three months, the University will suspend his/her employment.
8. In all cases, deduction including repayment of loans, advances, fines, etc. shall not exceed 50% of the employee's total monthly salary.
9. If the employee is proven innocent, the University has the option to reinstate his/her employment in from the detention date accordance to the Delegation of Authority Matrix, and pay him/her the balance of any compensation due for the 1st three months of detention period only.
10. If the employee is proven guilty, the University will terminate his/her employee in accordance with the provisions of the Saudi Arabian Labor Law and Delegation of Authority Matrix and pay all his/her dues for the period of service. Per executive level or expatriate contracts, the University is authorized to deduct a voluntary contribution, on a monthly basis, toward a retirement fund of the employee's choice. The University will contribute a greater percent toward the retirement benefit of the employee on a monthly basis.
11. If the employee has any questions or witnesses any errors regarding payroll, he/she should approach the Payroll Supervisor for clarification about the issue.

4.0 Administration Services Policies

4.1 Government & Academic Relations

Overview

This policy covers the rules, standards and guidelines that govern the University's government relations activities as well as travel services.

Objective

The objective of the Government & Academic Relations policy is to ensure that the University conducts its immigration and government relations activities in accordance with applicable University, GOSI and Saudi Labor laws and regulations in a timely manner and in a way that reflects a positive image of the University to the immigration office, government entities, regulators and policy makers.

Policy Details

1. The University shall comply with all legal and regulatory requirements in its immigration and governmental activities and interactions with government and public officials.
2. The University recognizes the importance of immigration services and government relations to achieve its business objectives and enhance its public image to the regulators and policymakers.
3. Gifts or payments to immigration and government officials to obtain favorable treatment are strictly prohibited and if proven, will be dealt with in accordance with the disciplinary policy & processes.
4. The Government & Academic Relations department is also responsible for arranging employee's airfare ticketing.
5. The Government & Academic Relations department is responsible for facilitating immigration and government's work related requirements in relation to the University's operations and activities, such as:
    - Customs Clearance.
    - Residency / Work Permits for University's employees.
    - Authentications and attestation from the Chamber Of Commerce, Ministry of Foreign Affairs, Ministry of Education and other government departments.

- Employee legal related issues (exit re-entry visa, exit visa, adding dependents to Iqama, driving licenses, etc.)
- Work visas for employment with the University.
- Family residence visas / Iqama for employees' families.
- Visit visas for people who are invited for business purposes.
- Transfer of sponsorship for new non-Saudi local hires.
- Visit visas to foreign countries for training and business purposes
- Licenses form Baladieh / Ministry of Municipality and Rural Affairs, and other governmental and legal entities.

4.1.1 Residency / Work Permits

1. The Government & Academic Relations department shall maintain a record of all issued visas on a timely basis; monitor the remaining number of allowed visas, and expiry dates. This record shall contain the following:
   - Visa Number.
   - Visa Validity.
   - Position.
   - Number of recruited personnel for this position.
2. Residency, work permits, and other subjects related to labor law must be performed and completed to guarantee the legal presence for employees and legal status for the University.
3. The University shall pay for the renewal of employee's residency permits (Iqamas) and work permits.
4. The Government & Academic Relations department shall commence the processing of necessary legal requirements (such as new Labor Card, Iqama, etc.) as soon as the new employee joins the University. A non-Saudi employee shall not engage in or be allowed to engage in any work except after obtaining a work permit.
5. The Government & Academic Relations shall always maintain a copy of all employees' residency or other documents such as a passport copy.
6. Important records such as work permits and exit re-entry shall be kept available on respectable governmental websites
7. Prior to renewal of a work permit, efforts must be made to ascertain that there are non-Saudi national applicants who possesses the required qualifications and is willing to undertake the same scope of work in question.
8. The University shall bear the fees of sponsorship transfer for non-Saudi employees being accepted to work for the University.
9. The University may not employ a staff to work in a profession other than the profession specified in his residency permit.

4.1.2 Passports and Residency Permits Administration

1. The Government & Academic Relations Department shall keep track of all residence permits (Iqamas) for all the non-Saudi employees of the University.
2. When passports are submitted to Government & Academic Relations for any purpose, they shall be kept in safe fire proof cabinets with limited access to designated Government Relations authorized employees.
3. The Government & Academic Relations department is responsible to follow up and ensure adherence to all above policies related to passports and residency permits.
4. Employee is responsible for any penalties due to late Iqama submittal or late payment of associated fees for dependents for renewal if being notified by the Government Relations department.
5. Employee is responsible for paying all expenses related to the loss of residency permits (Iqama).
6. Employee is responsible for paying all expenses related to the loss of passport.
7. The University shall pay the fees of adding new dependents in the employee's residency permits (Iqamas).

4.1.3 Travel & Hotel Arrangements

1. The Government & Academic Relations department is in charge for all University's travel arrangements.

2. Travel arrangements are applicable to University's business including training and conferences that is authorized and duly approved where the employee is away from his established work location for a minimum period of 24 hours.
3. The Government & Academic Relations department shall negotiate contracts with travel service provider/s based on cost effectiveness and quality of services provided.
4. All business missions/leaves' travel ticketing arrangement must be done through the University's approved service providers.
5. The Government & Academic Relations department shall review the services travel agents, and other service providers on quarterly basis.
6. Non-Saudi employees proceeding on official and approved annual leave are entitled to travel tickets as per the University's Compensation & Benefits Structure.
7. Any requirement of business travel must be requisitioned by the employee and approved by the appropriate Department Manager and HR Department in accordance with the Delegation of Authority Matrix.
8. Once the business travel/leave is approved, the employee must submit online ticket request through GR E-Forms and attach copy of the approval to make the necessary bookings and arrangements in accordance with this policy.
9. Bookings for business travel shall be made as much in advance as possible in order to provide the travel agent with lead time to determine the most cost effective manner of travel.
10. The Government & Academic Relations department shall maintain a Travel Register indicating name of employee, dates of travel, when and whether ticket received, and acknowledgement of receipt of ticket by employee.
11. The Government & Academic Relations department must follow the following steps when receiving invoices from travel agents and other contactors.
    - Reconcile and verify bills against travel itineraries, travel request forms and Travel Register.
    - Submit to the Finance Department for settlement within 7 working days of receipt of the bill.
    - Finance Department shall again verify the bill and make payment within the due date based on service contract.

4.1.4 Medical Insurance

The Medical Insurance Coverage for Alfaisal University employees is governed by the following policies:

1. Faculty & Admin Staff:
   The University provides medical care for all of its employees and their eligible dependents in two categories:
    - **Citizens Medical Coverage**: Medical Insurance (MI) will cover male employees and all of their eligible dependents (wife and all sons & daughters up to the age of 18). Medical Coverage beyond 18 years old may be accepted if the son or daughter is still a student; provided that the employee brings documentation from concerned University / Institute certifying their enrolment. For Saudi female employees, the University covers the husband if he is jobless or is not covered under any medical insurance scheme.
    - **Expats**: Medical Insurance (MI) will cover the employee and his/her eligible dependents with limitation to a wife and three kids whose ages are not more than 18 years old.
2. Students:
    - **International Students:** Under certain circumstances, the University will provide Medical care for students under its sponsorship.
3. Government Relations Department handles daily health care requests such as: ▪ Quotations from 2 to 3 MI companies are acquired by Government & Academic Relations Department (GAR) each year by the 1st of September and presented to the president and concerned VPs for approval by the end November.
    - Final revision of list of employees and their dependents and students are conducted and filtered before being added to the approved MI.
    - Requests from HR are Receive and processed to add or remove employees and family members to/from MI policy.

- Students who are under Alfaisal University will be added to MI after their arrival and in conjunction with their Iqama issuance.
- As per the university policy, employees on grade 10 and above are added to the VVIP MI coverage. Employees on grade 9 and below are added to the VIP MI.
- Visiting faculty can be added to the MI policy under special circumstance and after having the needed approvals
- Employee's reimbursement claims can be submitted to the insurance company through the GAR department or by the employee directly.
- Certificate of Insurance Coverage for travel proposes can be provided to employees upon request.

4.2 Communication Policy

Overview

This policy covers the processes and guidelines that direct the HR communication policies and activities.

Objective

The objective of the policy is to create an effective and healthy HR communication culture at Alfaisal University. Effective communication means the provision and exchange of information and instructions, which enables the University to function efficiently and employees to be properly informed of developments. Effective communication involves the management of relationships and the need for staff involvement. Communication is as much about attitude and behavior as it is about message. Two-way communication is expected throughout the University, and employees are encouraged to take advantage of the Communication Policy.

Policy Details

Alfaisal University strongly believes that direct and open communication is fundamental to create and sustain the healthy and open communication culture; where employees and managers can comfortably and candidly discuss work issues or employment concerns honestly, and with mutual respect and trust.

1. The Management of the University is very keen to institutionalize a healthy & friendly environment, where all employees feel confident, respected, motivated, committed and productive.
2. All Managers and supervisors are obliged to listen and respond to employee concerns in a timely manner.
3. Alfaisal University's communication Policy features several tools; the most important is the Open Door Policy.
4. Alfaisal University believes that ongoing communication usually prevents problems from arising in the first place.
5. Alfaisal University holds meetings with its employees at least once every one year although more frequently whenever possible, even in a more informal setting.
6. Another important tool will be the developing Suggestion Program. Ideas that can improve business, operations or safety are welcomed and, in some cases, may be rewarded. Two-way communication is expected throughout the University, and employees are encouraged to take advantage of the Communication Policy.
7. To support Alfaisal University as a thriving and successful institution we must communicate effectively with each other, with our staff and with our customers. Staff must have the information they need to achieve success in their positions.
8. As part of Human Resource's commitment to continuous improvement and development of its services, the Human Resources will be seeking regular feedback from staff on how the Human Resource Department and the institution can improve and enhance effective communications. Employees are encouraged to provide their comments and suggestions on all HR & Administration Support Services related matters by filling out and sending the (Feedback Form).
9. Every member of staff has a role and a responsibility to support effective communication.

4.2.1 Suggestion scheme

Employees are encouraged to submit any suggestions or ideas and possible improvements within the University that may be made.

Suggestions may also at any point of time can be e-mailed to the Human Resources Director or Heads of Departments.

Suggestions could focus on, but are not limited to, the following areas:

- Improvement of HRD services.
- Improvement of communication means between HRD and Alfaisal University staff.
- Human Resources & Administration Support Services policies and procedures amendment, addition or deletion.
- Alfaisal University's staff benefits.
- Training and development programs.

Submitted suggestions will be reviewed by the Human Resources team, and in case the suggestions are not within the scope of HR responsibility, HR will forward them to the appropriate person for consideration.

Suggestions will be implemented where possible/appropriate and communicated to all relevant employees.

4.2.1.1 Standards for Communications

All communications at Alfaisal University should be:

- **Open, honest, professional and transparent**
  The reasons for decisions are available. Decision makers are accessible and ready to engage in dialogue. When information cannot be communicated the reasons for non-disclosure are articulated and questions are expected and answered
- **Factually accurate and timely**
  Information arrives at a time when it is needed, is relevant and able to be interpreted in the correct context.
- **Clear**
  Messages are communicated in plain English or Arabic when needed. They are easy to understand and are not open to misinterpretation
- **Two way**
  Systems exist to support communication up and down the institution as well as across the sites and various teams.
- **Efficient**
  The communication and the way it is delivered is "fit for purpose", cost effective and appropriate to the recipient.

4.2.1.2 Electronic Communication

The electronic communication system at Alfaisal University is to be used primarily for purposes consistent with carrying out the College's educational mission. Examples of this system include, but are not limited to, the central computing facilities, the campus-wide network, local-area networks, attached computers and printers, stored programs and data, electronic mail, newsgroups, access to the Internet, the University telephone facilities including voice mail, departmental networks, campus CCTV, and the public computing facilities and related services, including Library computers.

This policy applies to all users of this system, including but not limited to faculty and visiting faculty, staff, managers, students, guests, and external organizations and individuals accessing external services, such as the Internet and Library systems, via Alfaisal University electronic communication system..

By using this system, users agree to the guidelines contained herein. Electronic mail and internet may be used for personal communication, but this may not take priority over intended business and academic uses. Priority for using this system will always be given to members of the University community. Because the University cannot guarantee the privacy of messages or documents stored on the system or transmitted through the system or

through the internet, use of the system for sending confidential or private personal information is discouraged. Users should be aware that electronic mail communications and voice mail communications can be a potential source of evidence in the process of attorney discovery in discrimination lawsuits or other litigation.

Users of the University's system should not disclose their passwords to others. Documents or information stored in the system should not be accessed by anyone other than the author or recipient, or by the University, as stated below.

General policy requirements applicable to the use of the system are as follows:

1. Offensive, harassing, defamatory, or otherwise inappropriate communication via the system is prohibited.
2. Use of the system is subject to all legal and University prohibitions against discrimination and harassment based on age, color, disability, gender, gender, national or ethnic origin, race, religion, veteran status, or any other basis protected by applicable Saudi laws.
3. Obscene, objectionable or other offensive material, including material that may be interpreted as harassment by others, may not be viewed, downloaded, printed or transmitted via the system.
4. System users are liable for any action or negligence that directly or indirectly results in adverse effects upon the system or its Users. The execution of computer programs intended to gain unauthorized access to, or make unauthorized use of, the system is prohibited. Users must abide by the terms of all software licensing agreements and copyright laws. Also, users are prohibited from downloading software onto any Library or Office computers or Labs unless given prior approval by the IT Director
5. Users of the system are obligated to respect the rights of others, the intellectual rights and the intellectual property rights of others when using these Resources. Duplicating and/or distributing information, recordings, or images in violation of applicable copyright laws is not permitted.
6. Unless granted proper authority, users are forbidden to access, transmit or release any information or data of a confidential nature, secured through their position with the University, to a person not authorized to receive such information.
7. University policy prohibits acts that are wasteful of system Resources. Examples include, but are not limited to, sending or forwarding chain letters; sending mass electronic mailings not directly pertinent to University business; creating unnecessary multiple jobs or processes; excessive uploading or downloading of large files, or, creating unnecessary output or printed material.
8. The University system may not be used for personal financial gain, inappropriate or illegal activity of any kind. Users may not download to, install upon, create links to, or otherwise place on the system any data or program which consists of any advertisements for commercial enterprises, without prior approval.
9. The campus electronic mail system exists primarily to facilitate business communications between individuals and specific groups. To the extent that there is excessive use of "Everyone Group" messages (or similar mass mailings) to numbers of individuals who, given a choice, would choose not to receive them, the effectiveness of the system is compromised. Such messages must be restricted to University emergencies and urgent operational messages, notification of University meetings and events, and notification of University-sponsored events or other events off-campus, which relate to the University's educational goals. Messages such as notice of lost and found articles, promotion of political causes, and listing of personal sale items should not be sent via the University e-mail system. Alfaisal Portal can be used for listing of personal items sale. Lost and Found items can be directed to Security personnel. a
10. Employees should ensure that their use of the internet does not adversely affect the ability of other faculty and staff in Alfaisal University to use this resource. Use of high-bandwidth applications such as streaming radio, television, and movies on-demand should be avoided or restricted to the evening and night hours.
11. Information stored on university computer systems is confidential and shall not be shared with individuals outside the university without the express written consent of the executive management.
12. The University is the owner and administrator of this system. The University may exercise the right to access information stored on the system for business purposes such as retrieving University business-related information, troubleshooting problems, responding to complaints of misuse, and in order to comply with legal and regulatory interests. Where practical, efforts will be made to obtain express consent from the

individual employee or student whose information is to be accessed. It is for these and other reasons that the University cannot guarantee the privacy of messages or documents stored on, or transmitted through the system.

13. Violations could result in penalties imposed upon the user of the system. These penalties could include disabling of the User's account(s), student suspension, student expulsion, employee suspension or termination, termination of access to the system, or liability for expenses incurred by wasteful usage.
14. The University maintains the right to monitor network use and discipline users, including faculty, staff members, managers and students, in accordance with Human Resources & IT Services electronic communication policy guidelines.
15. All Alfaisal University faculty and staff receive an email account, which is created in the following manner:
    - Faculty/Staff: New accounts are created upon notification from Human Resources Department that you have accepted a position at Alfaisal University.
    - All regular full-time, temporary full-time, regular part-time and some temporary part-time employees receive exchange email accounts.
    - Account usernames are created by using the first digit of the person's first name, and your last name. Your middle initial may be used to create a unique ID. Employee's username remains the same and is used for login purposes. Faculty and staff email accounts all end with the "@Alfaisal.edu" domain suffix.

General Guidelines for Email Use

- Users should refrain from using Alfaisal email ID for personal emails.
- Passwords (sensitive systems /applications) should not be sent through emails.
- Users should not subscribe or participate in any email list using their Alfaisal email ID that provides access to unsuitable content.
- Alfaisal reserves the right to track, access, block, drop or redirect mails which could damage the harmony and integrity of Alfaisal.

Acceptable Use of Emails Guidelines

- If a user receives an email containing offensive, obscene, or improper content, he should immediately inform the ITS (IT Services).
- Users should immediately inform any identity theft or spoofing to the ITS.

Email Broadcasting

Email Broadcasting is meant to reach specific audience in order to convey important, relevant information. Alfaisal email broadcasting system is for the delivery of important, emergency or time-sensitive information. Messages which must be communicated quickly should use multiple methods of conveyance.

General Email Broadcasting Statements

- The message must be from a valid alfaisal.edu email account
- ITS will create and maintain secure/unsecure groups for targeted university audiences.
- Designated personnel are only authorized to send broadcast messages to specific secure group(s).
- All broadcasting messages should have a short and clear descriptive subject for the message.
- The use of attachments should be minimal for all bulk broadcasting messages.
- It is the responsibility of the department to determine the appropriateness of the messages, proofreading, and following the guidelines for sending broadcast messages.
- The message must concern Alfaisal, and it must be sponsored by a department.
- The broadcast subject should be sent by only one person and not be redirected from another.
- The email subject should reflect the Topic/Agenda/Event that is scheduled to occur.
- A signature is required from department personnel that contain a phone number.
- All html links if provided must be functional and from a valid source
- Broadcast messages must be sent at least one business day prior to the event or program being publicized.

- Messages concerning personal events, business or promotional in nature should not be broadcasted.
- This provision explicitly prohibits the posting of unsolicited electronic mail to lists of individuals, and the inclusion on electronic mail lists of individuals who have not requested membership on the lists.
- Student's electronic mailing list for a class in which they are registered would be used for the purpose of official communications between authorized University personnel and an identified group of students.

Email Broadcasting Guidelines

- Check the email twice before sending.
- Know your intended group or audience.
- User should consult ITS or refer the Policy Based Distribution Groups Document for the Distribution Groups available in the Exchange Server.
- Broadcast email messages are not recommended as the only means of communication for circulating emergency or particularly time-sensitive information.
- Keep it simple. Brief, plain text messages are advised not to use graphics, embedded images or attachments instead can use links to direct recipients to a portal / website where they can obtain more information
- Use resources wisely. Email is a university resource which should be used sensibly.

Email Safety and Spam Control

Email protection is "enabled" on the Exchange Server to provide defense against malicious infections such as Spam, virus, Trojans, worms, spoofing and other malware. Users may not purposely send or forward emails containing viruses or other malicious infections.

The system scans incoming email for spam and viruses. Symantec Firewall may "Quarantine" any attachments that may be harmful. The system alerts you when a potentially harmful attachment has been received, and will allow you the option to deliver the message if it is legitimate. During extreme virus outbreaks, Campus Technologies reserves the right to block certain attachment types such as "exe" files.

General Email Safety and Spam Control Statements

- If the user receives any infected email, immediately notify ITS to take proper action.
- Spam Filtering is enabled on the Exchange Server based on a spam score as determined by the ITS department.
- Spam mail(s) will be either quarantined or redirected to the Junk folder of the recipient.
- Emails that are identified by the scanner as infected will be automatically quarantined.
- Quarantined emails will be kept for 7 days; after which they will be automatically deleted.
- The user is responsible for checking the Junk folder regularly to ensure that spam emails have been categorized correctly.
- If a genuine email is categorized as Junk, the user should set it to "non-spam" as specified within the email in order to receive it in inbox i.e.to the safe list.

Email Safety and Spam Control Guidelines

- If the user receives a message from an anonymous source, or strange subject line, he should inform ITS and delete that email immediately.
- The user should not reply to emails from unknown senders.
- Users should avoid using their Alfaisal email address in chat rooms, newsgroups, and mailing lists. The chances of receiving spam emails increase when an email is publicly posted.
- Users should consider using filtering on incoming mail in their email client (Microsoft Outlook).
- Emails identified as spam will be automatically received into the junk folder. Users are advised to regularly check the junk folder to identify any emails that were mistakenly categorized as junk by the Exchange.

Mailbox maintenance email archiving and storage

- Alfaisal ITS offers email accounts in Outlook, and Webmail access. Users are responsible for setting the mailboxes on their personal smart devices.
- ITS provides the default configuration in Microsoft Outlook. Users are responsible for setting personalized mail features such as signatures, out of office replies that are in line with Alfaisal standards.
- User’s mail boxes are configured with a size quota set as follows: Executives 6 GB, Faculty & Staff 4 GB.
- Maximum size of email attachments may not exceed 20MB. Any email exceeding this size will be rejected and bounced back to the sender.
- Users are responsible for keeping their email account's size under the assigned quota threshold by deleting unnecessary emails and/or archiving old emails by storing them locally. ITS will provide required assistance.
- Whenever mailbox reaches 90% of its allocated size, the user will be automatically warned to clear up space from his email account. When the account reaches 100% the user will automatically receive an email notification and will not be able to receive new mails. In order to receive/send new emails again, the user should clear up space in his account by deleting unwanted emails, archiving old emails, deleting emails with big attachments, etc. For assistance on how to clear and archive emails, users can contact the ITS.
- Spam emails will be received in the junk folder which also adds up to the mailbox quota.
- Email accounts are backed up regularly on a daily, weekly and monthly basis.

Mailbox guidelines

- In order to have a safe and secure network environment, all users at Alfaisal must adopt the following precautions:
- Webmail is enabled to provide access to email through https://mail.alfaisal.edu for Employees. Users can access their webmail through any web browser.
- Whenever users access their webmail from a public PC, they should make sure to log off (Sign off) their Alfaisal Outlook Web Access email account before ending their session.
- Should a user require delegating access rights to view or send an email on his/her behalf, these rights should be granted very cautiously and to very few. The user however, will be held responsible for emails generated and sent from his account.
- ITS recommends you to keep your server Mailbox Low and within the allotted quota for better performance and faster access to your emails.
- ITS reserve the rights to increase / decrease the Mailbox Quota of any individual
- Forward suspected hoax messages to itsupport@alfaisal.edu

Email Account Policy for Employees Leaving Alfaisal

- Alfaisal email account will be deactivated after ITS signing off the clearance form.

4.2.1.3 Internet Use

The Internet is a global entity with no control of users or content. Therefore, available Resources may contain material of a controversial nature. Not all sources on the Internet provide accurate, complete or current information. Users need to be good information consumers, questioning the validity of the information.

1. Internet services shall not be used in a manner that would violate any law or infringe any copyright, trademark, trade secret, right of publicity, privacy right or any other right of any person or entity.
2. Internet services may not be used for the purpose of transmitting or storing of material that is obscene, libelous or defamatory.
3. Attempts to obtain unauthorized access to or alteration of either local or remote computer systems or networks are strictly prohibited.
4. Faculty, staff may not create connections or use devices on the campus network that compromise network security or media access controls. These include, but are not limited to, routers (both hardware and software), NAT (network address translation) or IP masquerading, wireless access points or client devices, manual configuration of TCP/IP settings, IP tunnels, or any methods allowing external connections to be made to the internal network.

5. The internet service is available throughout the University for all employees.

4.2.1.4 Backup Management

A backup policy in-placed, to protect the business critical applications/data at Alfaisal University to ensure that it is not lost and could be recovered in the event of an equipment failure, intentional destruction of data or disaster.

The policy limited to the server(s) and critical application(s) however, not applicable for the data on the user's computer.

4.2.2 Phones

Each office is equipped with a desk telephone for the employee which can be used as per the following guidelines;

- Phones to be used for business management matters, employees are discouraged from using the phone system for personal purposes.
- External local calls to landline and mobile should be kept to minimum.
- Courtesy phones such as common areas can be used to place, with permission, short campus calls / Emergency calls.

A list of Alfaisal University phone numbers and e-mail addresses of personnel is available at https://portal.alfaisal.edu under the section of Telephone Directory.

4.2.3 Security & Information System Privacy

Computers are wonderful tools that allow us to work efficiently and effectively; however, the benefits they bring also create the potential for serious risks to the privacy and security of our information.

- Adequate security shall include the following:
  A. Protection of the privacy of information.
  B. Protection of systems against unauthorized access.
  C. Protection of information against unauthorized modification.
  D. Protection against dissemination of data in any form and,
  E. Protection of systems against denial of service.
- University computer and network resources may be accessed or used only by authorized individuals.
- The university reserves the right at its sole discretion for the following;
  A. To restrict or disable any account or use of computer and network resources, and to inspect, copy, remove or alter any data, file, or system resources which may undermine authorized use in order to protect the security and integrity of computer and network resources.
  B. The university reserves the right to suspend network access or computer account, as defined in this policy if user-maintained files, programs or services are believed to have been operating in violation of either law or policy.
  C. To inspect or check the configuration of computer and network resources for compliance with this policy and to take appropriate actions it deems necessary to protect university computer and network resources.
  D. The university can apply the provisions of this policy and the rights reserved to the university without prior notice to the user.
- The university is not responsible for the content of users' personal web spaces, nor the content of programs or files that users maintain either in their personal allocated file areas on university-owned computer resources or on personally-owned computers connected to the university computer and network resources.
- IT Services reserves the rights to conduct periodic scans of the university servers, computers and network resources (which include but no limited to personally-owned computers connected to the university's computer and network resources) for common security vulnerabilities, violations of policy or law.

Reporting of Security Incidents (All Users)
It is ethical responsibility of one and all to report security breaches or other security-related incidents. A critical factor of security is to address security breaches promptly.

- Individuals aware of any breach of information or network security, or compromise of computer or network security safeguards, must report such situations to the IT Services Staff or the IT Director immediately.

Account Password Security

- All users are required to change their password after the receipt of their account details from ITS.
- All users will be required to change their passwords periodically or at least every two months.
- Passwords are case sensitive.
- All user-level and system-level passwords must conform to the guidelines described below.
- In case a password is forgotten, then the user shall contact IT Services to reset the password.

Password Guidelines

A. Strong Password Characteristics:
    - Must be at least eight alphanumeric characters in length
    - Contains Upper Case (A-Z), Lower Case (a – z) Numeric (0 – 9) & Special Characters (?, !, @, #, %, etc.)
    - Should NOT be a word found in a dictionary (English or foreign).
    - Should NOT have common usage word such as: Names of family, pets, friends,
    - Should NOT have Birthdays and other personal information such as addresses and phone numbers.
    - Should NOT be a word or number patterns like aaabbb, qwerty, zyxwvuts, 123321, abc123 etc.
    - Should NOT be any of the above spelled backwards.
B. Protecting Passwords:
    - Choose a password that is memorable.
    - Try to avoid writing down passwords and under no circumstances leave a password in a place readily accessible to others.
    - A user should not give password to other users. ITS will never ask for your password to complete a support query or other tasks. The only person who needs to know a user password is the user him-or-herself.
    - The user should take care when entering the password to prevent others from seeing what was typed.
    - Users should not enter their passwords into computers or websites unless they are sure that it is a university related system/website.
    - Don't reveal a password directly or indirectly to ANYONE.
    - Don't reveal a password on questionnaires or security forms.
    - Don't reveal a password to co-workers while on vacation.
    - If someone demands a password, refer them to this document or have them to contact IT Services
    - Do not store the passwords in a file on any computer system (including PDA, Mobile phones, or similar devices) without encryption.
    - If an account or password is suspected to have been compromised, change the password immediately

Leaving a Computer Unattended

If you are leaving your work area, make sure to lock your computer r. If you are leaving your work area for a few minutes or leaving for the day, make sure your workstation (or laptop) is secured and that you have logged out of all applications. Don’t just power off the desktop and leave your application session logged in.

Also, make sure sensitive or confidential information is not lying on your desk when you leave, even for a short time. Whether it’s a computer disk, USB or paper, lock it in a desk drawer. And don’t forget about paper-based information! It requires the same protection you take for electronic information.

Computer Issuance

- Computers (laptop/desktop/PDAs/handheld) are issued only to employees in a full-time position. For various reasons, including budgetary ones, it is not possible for the university to provide laptops to all employees.
- Persons not directly employed by the Alfaisal including, but not limited to, students, volunteers, retired employees, employees hired on a per diem basis or consultants, or employees on extended leave or with an employment status of 'inactive" shall not be eligible for the issuance of any computing device.
- Employees by default are issued a standard desktop computer, based on the job related duties and responsibilities. Desktops are generally more powerful than laptops.
- Employees are eligible to have only single unit (Desktop / Laptop) only based on their eligibility. Executives (grade 14 and above) are eligible to have multiple units.

Criteria for laptop eligibility

Eligible employees to receive ITS defined standard laptop computers must fulfill one of the following criteria:

- Must be a member of executive management (group 14 and above).
- An employee receiving approval from their manager and meeting one or more of the following criteria: Significant time (average of 50% or more) spent outside the office at the request of the university.
- Their jobs require constant accessibility. Use of a specialized software. Frequent travelling (on and off campus). Perform field related activities (Exhibitions, Road shows, school visits, IT support etc.). Meet criteria of security policy and departmental approvals (IT Director or business unit head for staff and Deans of respective college for the faculty).
- The policy also recognizes the need for some shared departmental laptop.

Responsibility

Users are expected to take precautions to ensure that laptops & Desktop are Users are expected to take precautions to ensure that laptops & Desktop are not stolen, lost, or damaged. If laptop or desktop is lost, stolen, or otherwise damaged such that they cannot be restored to normal working order, the employee may be responsible for the prorated cost of the laptop or desktop (first year or less: 100%; second year or less, 70%; third year or less, 40%; Above 3 years, 25%). In case of theft or loss within the campus, the user must file a report with the university Security Department if stolen outside the campus user must file a report with the police and should provide a copy of the police report to the IT Services within 48 hours of the discovery of the loss.

4.2.4 Printer Usage

a. Alfaisal staff and faculty members are entitled to use the MFP (Multi-Function Printer) available in the campus. Standard multi-function heavy duty machines are placed in each block of the campus building.
b. Members of executive management (group 14 and above) are entitled for a separate Standard A4 laser printer.
c. Executive secretaries, secretaries of the deans are entitles for a desktop laser printer for convenience and confidentiality based on the business requirements
d. MFPs are password protected and the users can either use the RFID Printing card provided to them by Facilities or can use Alfaisal email credentials to be used/keyed to the MFP for printing and Scanning
e. All draft printing should be print in Black & White.
f. Color printing should be used for the final production or whenever necessary
g. Users may ONLY print on paper that is provided by the Facility department and the paper types supported by the printer.
h. To minimize the color printing a specified quota of pages are fixed for each user per month for the color printing however there is no quota for printing in gray scale. Once the quota exceed the job will continue to print in the gray scale.
i. The quota can be increased for a particular user based on the business needs and upon his / her Dean's or Department head approval.
j. The printers are to be used only for administrative, course or research work and other university related matters.

4.3 Office Stationery & Supplies

Overview

This policy covers the rules, standards and guidelines that govern the University's office stationery and supplies activities.

Objective

The objective of the Office Stationery and Supplies policy is to ensure that the various Colleges, Divisions, Departments and Offices have sufficient office stationary supplies to meet business requirements and enable them to perform their duties and functions.

Policy Details

1. To define guidelines and standards for publishing and printing of stationery and define procedures for ordering and distribution of stationery.
2. To define standard and non-standard stationery items and define a process for ordering and distribution of stationery items.
3. The purchase of stationery and office supplies and materials shall follow the policies and procedures being developed by the Procurement.
4. The purchase of office supplies shall be based on established re-order points of the items which shall not go beyond the three-month requirement.
5. Office supplies and materials shall be obtained locally. The Facility Department shall make sure that the items available shall meet the quality specifications of the users. In the absence of the requested items, these will be substituted with items nearest to the specified commodity, in consultation with the requesting Department.
6. The Facility Department shall maintain a stock card for each item in the store room which shall record the purchases, price, withdrawals and running balance of stock.
7. The Facility Department shall ensure that, in maintaining a certain supply level of stocks, the stock levels will be sufficient to meet the projected requirements for a certain period of time while attempting to keep stock levels as low as possible. This will avoid using excessive storage space and avoid wastage due to expiration of items and/or inventory surplus.
8. Requests for office supplies/materials shall be originated from the Department level and not by individual user, allowing for easy monitoring and control. This shall be done on a monthly basis.
9. It is the responsibility of the Facility Department to check that the amounts requested from the University’s departments are reasonable and in line with, where appropriate, previous usage quantities.
10. The use of stationery/letterheads bearing the Alfaisal University logo shall be limited to external communications. Inter-office communications shall be on paper with letterhead. The same size of paper shall be used in all office documentation, policies, procedures, and manuals. As much as possible, office forms shall be on A4 size paper as a standard size.

4.3.1 Types of Stationery

Stationery, for the purpose of this policy, comprises of:

- STANDARD STATIONERY: Standard and uniform printed communication, including graphic material that is, and must be used, across the Alfaisal University.
- NON STANDARD STATIONERY: Non-Standard printed communication, including graphic material that is used for a specific purpose by one/few Alfaisal University’s Departments.

Standard Stationery

Standard Stationery includes only the following items:

1. Letterheads
2. Continuation Sheets (Pages)
3. Half Sheets / Pages

4. Envelopes
5. Pens & Pencils
6. Memo Pads
7. Fax Cover Letter Pads
8. Business Cards
9. Newsletters
10. Greeting Cards
11. Purchase Orders
12. All internal Alfaisal University's forms

Non-Standard Stationery
Non-Standard Stationery includes, but is not restricted to:

1. Posters
2. Flyers
3. Pamphlets
4. Leaflets
5. Brochures and Guides
6. Graphic material
7. Other specific publicity material

General Guidelines for Printing Stationery

1. Only stationery that is approved and supplied by the Facility Department shall be used by employees to conduct the Alfaisal University's business. Private stationery for conduct of the Alfaisal University business shall not be permitted.
2. Alfaisal University stationery shall not be used by employees for personal purposes.
3. All STANDARD stationery shall be approved by the Facility Department in accordance with the Delegation of Authority Matrix.
4. All NON-STANDARD stationery must have approval in accordance with the Delegation of Authority Matrix.
5. Specifications relating to Logo, Paper, inks, and typefaces used shall be standard on all printed materials in order to promote a consistent visual identity. Logo size will differ based on size of material on which it must be printed. These standards will be set by MPR/ the Development Division and enforced by the Facility Department.
6. The printing and supply of stationery will be done by outside suppliers identified by and contracted by the Facility Department in accordance with the Procurement Policies and Procedures of the University.
7. To obtain economical rates, consistent visual identity and better quality control, the Alfaisal University shall have no more than two approved third party suppliers of printing and publishing services.
8. An individual's name and title cannot be printed on stationery unless the individual is an employee of the Alfaisal University. Memo Pads, however, may incorporate in an individual's name and title with prior approval from the immediate line manager of supervisor and the HR Department.
9. The employee shall not tamper, alter, personalize or modify the Alfaisal University's stationery for any purpose. This includes introducing or altering the design, logos, graphics, markings, wordings, color, etc.
10. All STANDARD stationery that is printed shall be done in Arabic and English languages. While facing the printed item, its right side shall have the English version and left side, Arabic.
11. Business cards for non-faculty members shall not contain the educational qualifications of the employee. However, doctoral titles for can be used subject to prior approval from concerned line manager or supervisor and the HR Department.
12. This policy applies to all providers of printing and publishing services to the University regardless of the vendor and it is the employee's responsibility to ensure that the vendor complies with these policy guidelines.

4.3.2 Types of Office Supplies

1. Office Supplies include the following types:

- **Commonly used stationery items** such as pencils, writing pads, registers, adhesives, scales etc. to carry out the Alfaisal University business and;
- **Commonly used office equipment consumables** such as printer cartridges, toner cartridges, paper for photocopying and printing etc.

2. The Facility Department will ensure the availability of sufficient office supplies to be allocated to each department based on prior approval from concerned line manager or supervisor.

General Guidelines for Requesting Office Supplies

1. Only stationery that is approved and supplied by the Facility Department of shall be used by employees to conduct the Alfaisal University's business.
2. The concerned Department's Administrative Assistants/Secretary shall create an MRS in ERP system, obtain authorization of Head of Department and notify the Facility Department by the fifth last working day of the month for the use of the next month.
3. The Facility Department shall consolidate the order, procure and/or distribute the printed stationery and office supplies by the last day of the previous month for next month's use, record usage and obtain acknowledgement of concerned Department's Administrative Assistant/Secretary.
4. Non-Standard printed stationery and office supplies shall be ordered at least 15 working days prior to date of requirement. Administrative Assistants/Secretaries shall create an MRS in ERP system, obtain authorization of Head of Department (for non-standard stationery) and inform Facility Department for placing order.
5. Clear and complete specifications and instructions must be given by Department's Administrative Assistants/ Secretaries of the nature of non-standard requirement. If the specifications or instructions are not clear or complete, it will delay the order and the Facility Department would seek additional clarifications, until the requirement is clearly defined.
6. Non-Standard Printed Stationery requests shall be accompanied, to the extent possible, by:
   - Hard copy of material to be printed
   - Soft copy of material to be printed, through e-mail; on disk (wherever possible)
   - Any necessary photographs (if applicable) or illustrations
   - Sample of previous or similar publication, if available
7. No NON-STANDARD printing or office supplies shall be procured until the final proof /sample is approved by the concerned Head of the requesting Department and by MPR wherever applicable. The Facility Department shall obtain approval of the Head of Department on the proof of printed stationery and on the quotation for stationery/office supplies.
8. Facility Department shall record all stationery and office supplies ordered and supplied in separate registers maintained by them. Reconciliation of the suppliers invoice with the register shall be done prior to authorization for payment is given by the Facility Department to the Financial & Accounting Department.
9. Facility Department is responsible for safe storage of stationery and supplies until distribution. After distribution to concerned Departments, the Department's Administrative Assistants/Secretaries shall become responsible for safe storage and proper utilization of their office supplies and stationery.
10. Office stationery and supplies shall be kept under lock at night or out of working hours and the keys with the Facility Department and Department's Administrative Assistants/Secretaries for safety reasons and to prevent misuse of the University's office supplies.

4.3.3 Planning and Budgeting for Office Stationery and Supplies

1. Each Head of Department shall identify the quantity of standard and non-standard office stationery and office supplies required for the year at the start of each year. Estimated costs of various standard items shall be circulated by the Facility Department to assist in budgeting.
2. Facility Department shall make budgetary provision for stationery and supplies at the start of each year based on estimates of the concerned Head of Departments.
3. Overuse and above the budget requests shall be approved based on proper and business justification in accordance with the Delegation of Authority Matrix at the request of the concerned Department's Head.

4. The Financial & Accounting Department shall settle supplier invoices in accordance with the Procurement Policy and terms and conditions of the service contract.

4.4 Office Support Services

Overview

This policy covers the rules, standards and guidelines that govern the University's office support services activities.

Objective

This policy is aimed at providing administrative support services in a coordinated manner as required by all Colleges, Divisions, Departments and Offices to allow them to fulfill their functional responsibilities. Office support services assist in enhancing the effectiveness of the operating departments and include diverse activities such as mail services, phone services, office machinery services, utility bills, administrative logistics, refreshment service, etc.

Policy Details

4.4.1 Mail Services

Incoming Mail

1. Incoming Mail is mail that is received from external sources and consists of the following:
    - Mail delivered through Saudi Post
    - Mail delivered to University office by courier/s
    - Hand delivered mail at University by other individuals/organizations
2. It is the policy of the University to centralize all incoming and outgoing mail and courier services.
3. Each function shall give the use of electronic mail higher priority in order to reduce mail costs, expedite mail dispatch and save paper work.
4. The Facility Department shall assign a Messenger/Driver to deliver/collect mail packages to/from the Saudi Post Authority before working hours and at regular intervals during the day.
5. The Facility Department is responsible to contract with express services (DHL, FedEx, Aramex, UPS, etc).
6. All incoming mail to the University shall be received and sorted out by the Facility Department and will be ready for distribution within the same day using the form (Alfaisal University AD -10 Incoming Mail Form).
7. Incoming mail shall be time stamped, sorted and distributed to concerned Divisions/ Departments early enough to minimize delay and ensure that the mail has reached the recipient.
8. Administrative Assistants/Secretaries are responsible to collect incoming mail from the Facility Department Mail area.

Outgoing Mail

1. Mail that is for outside distribution or that is to be sent to other employees is known as Outgoing Mail and will be dispatched / delivered as per the following outgoing mail dispatch/delivery schedule:
    - Dispatch through Saudi Post
    - Dispatch through express/courier mail
    - Dispatch internally for inter-office mail
2. All outgoing mail shall be sent to the Administration Services to manage its distribution (external or internal). This needs to be done within the same day.
3. Outgoing mail shall be collected from Administrative Assistants/Secretaries in different Departments, on a regular basis during the day using (Alfaisal University AD-11 Outgoing Mail Form).
4. All outgoing courier mail (DHL, FedEx, Aramex, UPS, etc.) shall have the approval of the Concerned Department Manager.
5. Once collected from Departments, mail shall be sorted out by class, urgency and destination by the Facility Department.
6. Once volume justifies, outgoing mail shall be dispatched to the post office by the Facility Department.

7. All external mail shall utilize University's envelopes (Envelopes are labeled with University's name, logo, and address).

4.4.2 Photo Copiers

1. The ITS Department must ensure the availability of adequate copying machines either through leasing or direct purchase, at the various University's premises and locations.
2. Private Photo copying, whilst permitted in small quantities, shall be discouraged, to prevent disruption in the use of the machine for the University activities.
3. A logbook shall be maintained for all Photo Copiers order to keep track of all charges.
4. Photo Copiers shall be located in a locked room; entry to that room shall be restricted to authorized personnel only.
5. The ITS Department by utilizing the services of Facility Department responsible to ensure valid maintenance contracts for all the copying machines in the University and that proper maintenance is carried out on all these machines.

Only the authorized personnel shall operate photo copying machines.

4.4.3 Telephone and Fax Machines

1. The ITS Department by coordinating with Facility Department must ensure the availability of adequate telephone sets and fax Machines either through leasing or direct purchase.
2. A logbook shall be maintained for Telephone and Fax Machines in order to keep track of all communication charges.
3. If needed, Fax Machines shall be located in accessible room/area and entry to that room/area shall be restricted to authorized personnel only.
4. A separate fax machine shall be used by each Department in order to expedite response times.
5. Administrative Assistants or Secretaries shall sort out and distribute faxes according to their priority to Departments.
6. Copies of faxes shall be time stamped and filed at the secretarial level to ensure adequate recording of all incoming and outgoing faxes.
7. The ITS Department by utilizing Facility Department Services is responsible to ensure valid maintenance contracts for all the University's Telephone Sets and Fax Machines.
8. Only authorized personnel shall operate Fax Machines and other office machinery.

4.4.4 Telephone Calls

1. An automated call distribution system shall be in place, and it is responsible for managing all the phone calls of the University.
2. Outgoing telephone calls are for business purposes only.
3. All international calls shall be recorded using the automatic billing system. A printed report shall be produced, sorted out and sent for approval by the respective Department Manager on monthly basis.
4. Telephone bills shall be received by the Facility Department, sent to ITS Department for review, then prepared and forwarded to the Finance Department for processing.

4.4.5 Bulletin Boards

1. The Facility Department is responsible for the University Bulletin Boards.
2. Advertisements of the University that are posted on the bulletin board shall be agreed upon by line manager together with the MPR and Facility Departments approve it and a removal date is determined and removed on agreed expiry/removal dates.
3. Employees shall not have the right to post any document or personal notice on the bulletin boards unless the concerned line manager together with the MPR and Facility Departments approve it and a removal date is determined.

4.4.6 Utility Bills

1. The Facility Department is responsible to collect and receive University utility bills.
2. University utility bills (Telephone, Electricity, Water, etc) received from utility Companies shall be paid within specified time frame without any delays.
3. The Facility Department shall coordinate with the Finance Department to prepare the necessary vouchers concerning all utility bills.

4.4.7 Vehicles Administration

1. The Facility Department should maintain a file for every vehicle owned or leased by the University. This file should include copies of:
    - Original vehicle registration and official documents.
    - Date of vehicle purchase.
    - Estimara date and motor vehicle periodic inspection (MVPI) Fahes Dawri documents.
    - Vehicle reports and tickets issued.
    - Lease information, if applicable.
    - Original insurance policy document.
    - Vehicle maintenance record (includes all the maintenance invoices);
    - Vehicle expected maintenance date.
    - Status of maintenance and repairs history.
    - Driver's personal information.
    - All vehicles gas consumption.
2. All University's vehicles should be either owned or leased and maintained in the University's financial books as fixed assets.
3. All University's vehicles must be insured by a reputable insurance company.
4. A logbook will be maintained for each vehicle. The face of the logbook (cover) shall bear the name of the driver, vehicle type and plate number.
5. A ledger for the cost of fuel and maintenance of each vehicle shall be maintained at the Finance Department.
6. The Facility Department shall ensure the availability of sufficient gas coupons to fuel the University's vehicles.
7. The Facility Department is responsible for ensuring that the University's vehicles are well maintained and ensured.

4.4.8 Telephone Directory

The ITS Department is responsible to maintain and update the University's directory at all times.

4.4.9 Office Keys

The Facility Department is responsible to control all office keys of the University including key issuance, duplication and custody.

4.4.10 Office Reception

1. Facility Department is responsible for monitoring receptionist works and behavior on constant basis.
2. Reception personnel are considered the ambassadors of Alfaisal University, they should be polite, professional, neat, well spoken, and give attention to customers and visitors.
3. Reception personnel should use standard and concise greeting words while answering telephone calls.
4. Reception personnel shall control the reception area with assigned department and guide and assist visiting clients and guests.
5. Reception personnel shall allow authorized personnel only to enter the premises of the University.
6. Reception personnel shall ensure that they register on the visitor's logbook the name of the visitor, date and time of arrival, purpose of visit, person to visit, and the time the visitor is leaving the premises.
7. Reception personnel shall provide directions or escort visitors / clients to their destination.

4.4.11 Community Services & Social Responsibility

1. The HR Department in coordination with MPR and Facility Department should plan the nature and level of social, cultural, religious, sports and other related activities for its personnel as per management directives.
2. If so requested by senior management, the HR/ Facility Department is responsible for the negotiation of any rates or special packages for health clubs, vehicles insurance, etc., for its employees.
3. The Facility Department should make available and maintain mosque facilities.
4. The HR Department by coordinating with Facility Department may facilitate, organizes and sponsors Omrah trips and religious competitions as per management directives.
5. The HR Department by coordinating with Facility and MPR Department may facilitate employees who wish to conduct sports tournaments and other social events for University employees and their families as per management directives.
6. The Facility Department shall participate in public services activities and sponsor community activities (cleaning of public areas, garbage collection, etc.) as per management directives.

4.4.12 Planning and Budgeting for Office Support Services

1. Each Head of Department shall estimate the office support services including mail services, phone services, office machinery services, utility bills, travel services, administrative logistics, etc. required for the year at the start of each year. Estimated costs of various standard items shall be circulated by the Facility Department to the various Managers to assist in budgeting.
2. Facility Department shall make budgetary provision for the office support services and supplies at the start of each year based on estimates of the concerned Heads of Departments.
3. Use over and above the budget shall be approved based on proper and business justification in accordance with the Delegation of Authority Matrix at the request of the concerned Department.
4. The Finance Department shall settle supplier invoices in accordance with the Procurement Policy and terms and conditions of the service contract

4.5 Filing & Archiving Services

Overview

This policy covers the rules, standards and guidelines that govern and clarify the University's archiving services and activities.

Objective

This policy has been developed to ensure that essential records and documents of the University are retained for the required length of time. This will be achieved by filing documents and records in accordance with the need for future access to these records and while at the same time ensuring safe and secure shortage of important University’s records.

Policy Details

1. The intention of this policy is to provide clear guidelines to all employees regarding the appropriate filing, retention and disposal of University’s records and information via an agreed archiving process.
2. The University has an obligation to implement and preserve good archiving procedures and processes to protect its records and information.
3. Each Department within the University is responsible for the filing and storage of its own records and documentation. As far as possible this shall be within the same Department or close to the area of work within the University’s premises if frequent day-to-day access is required.
4. Local filing procedures regarding the archiving of files and destruction of files reaching their destruction date shall be agreed on with each College / Department.

5. As Colleges / Departments are responsible for their own filing and archiving. There is NO need for other departments to retain duplicate copies, unless they have a specific need for their own purposes, e.g. Finance & Accounting will file or archive ALL invoices. Therefore, individual departments will avoid keeping duplicate records.
6. To use filing/storage space to its best advantage within colleges / departments there shall be a discipline to constantly review whether the records need to be archived.
7. The Facility Department is responsible for managing and allocation of space for all closed files to be archived in the University's central archives.
8. It is the responsibility of all line managers and staff to ensure that records and information are filed and archived correctly.
9. It is the responsibility of all line managers to identify and destroy or archive unnecessary records and paperwork on a regular basis.
10. It is the responsibility of all employees to keep information of a confidential nature safe and properly filed for easy access and reference.
11. Every employee will be responsible for the management of archive records for their business areas under the advice of their line managers.
12. The HR Department is responsible for maintaining employees' personnel files and records in safe and fire poof cabinets.
13. The HR Department will adopt appropriate and adequate security measures for storage of and access to HR archival records in whatever format, dependent on the record type.
14. Shredding of University's documents and files are only allowed after the expiry of the retention period.

4.5.1 Filing

1. Copies of all incoming and outgoing documents shall be filed in a systematic manner according to their nature either sequentially or by date.
2. Filling system shall be capable of preserving necessary information and of retrieving it accurately and quickly when required.
3. Department Administrative Assistants/Secretaries shall coordinate with their Department Managers to design the filing system that is most suitable for their business requirements and operations.
4. The basic elements that shall be available in an effective filing system are: ▪ The method or combination of indexing methods.
    - Suitable stationery and supplies.
    - The basic procedure for filing and retrieval material.
    - A designated Committee to handle the process of reviewing all documents and determining retention and destruction periods of data and records.
    - Periodic review of University's documents and records.
5. All documents shall be grouped and filled according to a predefined classification scheme.
6. The newest addition to a file shall always be placed on top of other papers in the file.
7. When filling documents that can be classified in more than one file, a cross-reference sheet shall be prepared and filed as appropriate.
8. When filing a document that needs follow up, a follow up slip shall be prepared and filed in a tickler file.
9. When a document is withdrawn from a file, an out card shall be inserted in its place. The card shall show the date of the withdrawal and the name of the person who has the document in order to easily locate the document and ensure its prompt return.

4.5.2 Sending Records to the Central Archives

1. All formal documents and communications issued or received by the University shall be archived in the Central Archiving System by the respective department's Administration Services Staff through Facility Department.
2. The Archives might consist of important data and information, Board of Trustees (BOT) meeting minutes, committees' meetings minutes, contracts and agreements of any kind, correspondence of senior

management, financial records, past employee records, projects records, research records of former staff, records of collaborations with outside bodies, etc. shall be archived by the Administration Services of the concerned Department in line with the Archiving Policy guidelines.

3. The University's archival records are those records which are no longer current but which have been chosen to be preserved, for a specified length of time.
4. Before the archiving process is implemented, all collections of paper forming a file must be checked by the concerned Departments for duplicates to ensure that the minimum number of papers is kept. In addition, only papers considered essential to the file shall be kept.
5. Any duplicates identified must be destroyed in local confidential paper disposal facilities or by other appropriate confidential methods e.g. shredding machines by concerned Departments.
6. All remaining papers and records must be correctly filed according to departmental procedures and needs. The file must not contain loose papers unless the file is to be sealed.
7. Each file must be clearly and appropriately labeled with detail of the file content and agreed archive date or destruction date as a minimum.
8. Each Department is responsible for cataloguing its records. The retention must be completed, including a signature from either the concerned Dean of College or Head of Department.
9. The Facility Department if requested shall provide carton boxes specifically designed for archiving purposes.
10. The concerned Department Manager who intends to send records to the Central Archives shall fill out a form or send an email to the Facility Department.
11. A log book shall be maintained for all, incoming documents coming to the Central Archives by the Facility Department stating:
    - Source
    - Addressee
    - Incoming date
    - Subject
    - Classification
12. All incoming documents shall be filed in a systematic manner according to their nature either sequentially or by date.
13. It is extremely important to note that each box of records that is sent to the Central Archives has a cost implication in terms of the cost of moving the record, the cost of storing the record for the agreed retention period and the cost of retrieval.

4.5.3 Retrieval of Records from Central Archives

1. Only complete boxes will be retrieved from the University's Central Archives, not individual files.
2. Retrieval can be arranged by completing the Retrieval Form (Alfaisal University AD-08 Retrieval Form) which shall indicate the Box Reference Number and File Number if appropriate.
3. The Requester for records retrieval shall fill out the above form and send it to the Facility Department stating the number of box and the contents of the box.
4. Boxes can only be retrieved by fax or by email with an official Retrieval Form including and authorized signature from the manager or supervisor of the requesting department.
5. Archive boxes that need to be returned to storage can either be returned immediately or await the next collection.

4.5.4 Records Retention

1. The records that are eligible to become archived may need to be kept permanently because they are evidential, or for some other legal reason, they may be a historical record of the University, they may have a wider value to the community or they may have a business need value.
2. All University files, information and documents that are no longer needed in day-to-day operations shall be retained for a specific period of time in the University's central archives depending on their importance.
3. Each Department shall develop a Records Retention Schedule for all its records and documentation specifying the type of documents as well as the retention period for each type of records.

4. All records that are kept at the University's archive will be included in the Records Retention Schedules.

RESPONSIBILITY	PROCEDURE	REFERENCE
Archiving		
Concerned Department Assistant Administrative	1. Files the documents according to predefined classification scheme. 2. Groups all documents in box files3. Places labels with details of the box file 4. Completes Archiving Form and send it with the box files to the Facility Department	Archiving Form (AD – 07)
Concerned Department Head (CDH)	2. Checks the box files and approves archiving them	
Archiving Coordinator	5. Checks the correctness and completeness of all coming box files 6. Updates a log book for all incoming box files to the central archiving unit. 7. Archives all incoming documents according to their nature either sequentially or by date	
Retrieval		
Concerned Department Assistant Administrative	1. Completes the Retrieval Form.	Retrieval Form (AD – 07)
Concerned Department Head (CDH)	2. Checks and approves the Retrieval Form before sending it to the Facility Department	
Archiving Coordinator	3. Reviews the request 4. Retrieves the requested box file and hand it over to the department's messenger	

Policy Scope

1.3 Policy Presentation and Updating

Human Resources Department is responsible for the overall updating and management of the Policy manual. Human Resources Department is also responsible for any revisions, alterations or additions from time to time. The process of distributing this manual will be conducted and monitored by the Human Resources Department. The updating of the manual is the responsibility of Human Resources Department. The policy manual will also be available for easy reference on the University's website and Intranet.

1.4 Organization of Manual

The Human Resources Policy Manual is organized as following:

1. Introduction to Manual
2. Role of the Human Resources & Administration Support Services Department
3. Human Resources Policies
    - 3.1 Manpower Planning
    - 3.2 Selection and Recruitment
    - 3.3 Remuneration, Compensation and Benefits
    - 3.4 Performance Management System
    - 3.5 Career Development and succession Planning
    - 3.6 Training and Development
    - 3.7 Work Schedules
    - 3.8 Vacation & Holidays
    - 3.9 Business Travel
    - 3.10 Work Relations
    - 3.11 End of Service
    - 3.12 Documents and Records
    - 3.13 Payroll
4. Administration Support Services 4.1 Immigration & Government Relations Service
    - 4.2 Communication Policy
    - 4.3 Office Stationery & Supplies

- 4.4 Office Support Services
- 4.5 Filing and Archiving Services

1.5 Policy Clarifications

The Managerial and the Supervisory employees share administrative responsibilities. The functions, which have primary responsibility for the policy manual, are referred to in the text by title or function.

All queries relating to the interpretation of the Policy Manual should be addressed to the appropriate Function Heads having primary administrative responsibility. All cases wherein any clarification pertaining to the Policy Manual is required where responsibilities are not clearly assigned amongst functions should be referred to the Human Resources Department. In cases where the Policy Manual does not suitably cover a situation, all such exceptions are to be added, addressed and dealt with by VP for Finance & Administration.

1.6 Definitions

The following are some of the key terms used throughout the manual and their definitions:

1. **Apprentice**: is the non-employee trainee engaged by the University to be trained within a specified period of time as per a training contract.
2. **Delegation of Authority Matrix**: Means the authority vested in an individual/Department to approve/ disapprove of a process/decision.
3. **Basic Salary**: Employee's regular monthly basic salary, which excludes all allowances, bonuses, business and training assignment payments, overtime or any other compensation.
4. **Business Assignment**: Refers to any official work, overtime work or any other compensation (which may include, but is not restricted to business visits, training) at a location that is away from the regular work location of the employee.
5. **Business Ethics**: Refers to the conduct of business dealings, maintaining the highest standards of ethical, professional and moral concerns.
6. **University**: Means the "Alfaisal University".
7. **Conflict of Interest**: Refers to situations wherein personal interests clash with those of the University's interests.
8. **Contract Location**: Refers to the location specified as the work location in the contract of employment.
9. **Point of Origin**: The place mentioned as the point of origin of the employee in the employee contract.
10. **Co-Op Trainee**: Refers to students from Universities and colleges trained by the University.
11. **Function Head:** Refers to the (Heads of the Functions/Major Divisions) who are the first level and direct reports to the President.
12. **Department Manager / Department Head**: Refers to the Head of a Department within a Function or a College of the University. Department Managers / Department Heads are the first level direct reports to Function Heads.
13. **Direct Hire**: Refers to employees who have been directly hired by the University.
14. **Disclosure**: Constitutes a statement by the employee wherein he/she discloses a personal interest in the business of another organisation, which does or intends to do business with the University.
15. **Eligible Dependents**: Refers to the persons who have been designated as dependent on the employee according to University's policies. This includes dependents (wife and all children for Saudis up to the age of 24 years. And for non-Saudis, the wife and three children) whose ages are not more than 18 years old, and who reside permanently in Saudi Arabia).
16. **Employee Orientation**: Refers to the period at the start of employment wherein an employee is inducted and made aware of the working conditions, rules and regulations of the University.
17. **Permanent Employee**: Is a person who is recruited as a permanent employee by the University under an employment agreement for a specified or unspecified period to work for the University and be under its direct control and supervision after having undergone the designated probationary period. This excludes apprentices, daily rate hires, outsourced contractor's employees and summer and Co-op trainees.

18. **Temporary employee:** Is a person who is recruited as a temporary employee by the University under an employment agreement for a specified or unspecified period to work for the University and be under its direct control and supervision after having undergone the designated probationary period. This includes apprentices, daily rate hires, outsourced contractor's employees and summer and Co-op trainees.
19. **Exit Interview**: The exit interview which is conducted by the HR representative with the employee upon separation from employment. Separation for the purpose of this policy can be due to resignation, non-renewal of contract, retirement or medical unfitness. It will exclude separation due to lay off, disciplinary or non-performance reasons.
20. **Flex-time:** Employees can choose when they work, subject to achieving total daily, weekly or monthly hours in the area of what the employer expects, and subject to the necessary work being done.
21. **Director of Human Resources**: Refers to the Director of Human Resources Dep., who has overall responsibility for Human Resources related matters across the University.
22. **In-kingdom Training**: It refers to the training imparted at the University's facilities (internal training) or training imparted anywhere else within the Kingdom.
23. **Involuntary Termination**: Refers to situations when the University ends the services of an employee due to any reason whatsoever.
24. **Iqama:** Refers to the residence permit for non-Saudi employees issued by the Saudi Arabian Government.
25. **Job Description**: Is a statement to provide employees in the University with information on the roles, key responsibilities and expectations for the position they are occupying, along with reporting relationships and the broad skills and qualifications required for the job. It is a dynamic document, which is subject to change as per business requirements.
26. **Job**: A group of related activities, which have been approved for an employee to perform. Every job is defined in terms of basic function, duties, responsibilities, and scope and qualification requirements via a job description. Each job is placed in the grading structure as per University approved classification and grading scale fitment.
27. **Merit Increase**: An increase in an employee's base salary based on job performance.
28. **Minimum of Range**: Refers to the start/base of the grade salary range.
29. **Midpoint of Range**: Refers to the mid-point of the grade salary scale.
30. **Maximum of Range**: Refers to the maximum salary that can be paid within the grade salary range.
31. **Immediate Superior:** Refers to an employee who is an Immediate Superior/supervisor for the employee.
32. **Next Higher Authority**: Refers to an employee who is in-charge of and supervising the Immediate Superior of the employee.
33. **Overtime**: Any time spent in excess of the official normal scheduled hours of work by a non-management employee are considered as an overtime.
34. **Personal Interest**: Refers to holding a position, ownership, investment or stock in another business.
35. **Potential Assessment**: It is the assessment conducted to evaluate the potential of an employee to occupy a position in a higher grade.
36. **Probationary Period**: Refers to the designated period of ninety (90) days that a newly hired employee has to undergo in order to have confirmed employment status. It can be extended to another 90 days by the University with the approval of the employee.
37. **Promotion**: The reassignment of an employee to a different job classified in higher grade based on the University needs, existence of a vacant approved job, fulfilment of job requirements relative to peers and subject to approval as per the Delegation of Authority Matrix.
38. **Regular Work Schedule**: Is the official daily work schedule determined by the University.
39. **Saudization**: Is the policy to promote and develop quality Saudi nationals to take jobs of higher administrative/technical skills and to increase the number of Saudis in the workforce.
40. **Scheduled Days Off**: Days within the work cycle designated for rest.
41. **Date of Hire:** Refers to the date the employee joins the University as mentioned in the employment contract.
42. **Shift Schedule**: A schedule in which work hours are scheduled for a specific time in the day. Certain employees may be rotated amongst various shifts.
43. **Summer Trainee**: Refers to non-employee students trained by the University.

44. **Permanent Transfer**: Refers to the reassignment of an employee from one location/Department/job to another based on business requirements of the University for a period of more than 180 days.
45. **Temporary Transfer**: Refers to the temporary reassignment of an employee from one Job/Department to another for a period of less than 180 days.
46. **Travel Time**: The travel time, for which the University grants days off to employees so as to compensate them for the time spent in travelling.
47. **Work Location**: Locations where the University business is based.

Professional Development Policy -HR003

Policy Code
HR003
Approval Date
Wed, 10/20/2021 - 12:00
Policy Purpose
The policy aims to continue developing employees' competencies and skills to enable higher levels of performance for achieving business objectives.

Basic Policy

Professional Development is a specialized program, course, or educational activity inside or outside Saudi Arabia. It is for receiving a completion or an attendance certificate, not an academic degree. It is intended to continue developing the employees' skills and expertise to enhance and fulfill the interest and needs of Alfaisal University.

Policy Details

1. Each year, the Deans/Heads of Departments can nominate up to 50% of their employees- depending on their evaluations and needs- for professional development. The selected nominated employees are limited to attend only one training every two (2) years.
2. The Deans/Heads of Departments should provide professional development plans by the beginning of each academic year as per the Training and Development policy and processes.
3. The selection for training is only for full-time faculty and administration employees with grade four (4) and above who had completed at least two (2) years of employment at Alfaisal University.
4. The employee must work one academic year after the training date; if the employee decided to resign or end the contract, the employee shall bear all expenses.
5. The training should not exceed five (5) days as Training Leave, including travel days.

Table 1. Travel Days

Countries	Middle East, Gulf	Europe, America, Far East, Australia	Inside Saudi Arabia
Travel Days	Up to 2 travel days, depends on flights	Up to 4 travel days, depends on flights	Up to 1 day, depends on flights

6. If an employee resigned or decided not to renew the contract, then no professional development will be granted.
7. If the employee failed to submit the Letter/Certificate of Attendance within one month of attending, the days will be deducted from the annual leave and expenses will be borne by the employee unless a reasonable excuse is given.
8. If the employee was not able to attend a professional development after registration, he/she will not be selected for the upcoming two years of training programs. Moreover, the employee should reimburse all the training expenses.
9. Professional Development is not a contractual benefit or an automatic entitlement.

Financial Remunerations

Table 2. Financial Rates

Category	Assistant Professor Associate Professor Professor	Instructors Lecturers Senior Lecturer	Administrative employees
Amount	Up to 15,000 including training fees, per-diem and Tickets	Up to 10,000 including training fees, per-diem, and tickets	Up to 10,000 including training fees, per-diem, and tickets

Procedure

1. The Dean/Head of the Department shall recommend the training request of the employee depending on the needs and the Employees' appraisal.
2. An employee must apply for the Professional Development by uploading all required supporting documents at least one (1) month prior to the event date on the HR Portal (Business Travel Authorization & Expenses)
3. The request will be reviewed by the Human Resources Department for approval.
4. The final approval for Professional Development will be granted by VP Finance & Administration.
5. The employee is required to sign the Training Agreement Consent Form.
6. The approved training applications will be forwarded to Finance Department for the financial process.

Safeguarding Policy -HR004

Policy Code
HR004
Approval Date
Mon, 09/29/2025 - 12:00
Policy Purpose
Alfaisal University is committed to:

- Keeping children and vulnerable adults safe from harm.
- Meeting Saudi legal requirements, including the Saudi Labor Law, Child Protection Law, and Law of Protection of Abuse.
- Making sure staff and students know how to act if they have concerns.

Policy Scope
This policy applies to all staff, students, contractors, and visitors of Alfaisal University (AU). It covers anyone under 18 years old and adults who may be vulnerable or at risk when taking part in AU activities on or off campus.

Legal Framework (Saudi Arabia)

- *Saudi Labor Law:*
  - No work for children under 15.
  - Limits work for those aged 15–18 (no dangerous or night work).
  - Employers must provide a safe workplace.
- Child Protection Law: Protects children from all forms of abuse and neglect.
- *Law of Protection of Abuse:* Protects children and adults from abuse, neglect, or exploitation.
- *Reporting Channels:* Ministry of Human Resources and Social Development (MHRSD) Hotline 1919, Police 999, Health Services 937.

Definitions

- *Child:* Anyone under 18 years old.
- *Young Worker*: Age 15–18, allowed to work under special rules.
- *Adult at Risk:* An adult unable to protect themselves from harm due to disability, illness, or circumstances.

- *Abuse:* Physical, emotional, sexual, financial harm, neglect, or exploitation.

Procedures

1. *Report Concerns Immediately*
    - If urgent: Call 999.
    - If non-urgent: Contact a Local Safeguarding Officer (LSO).
    - You may also call the MHRSD Hotline (1919).
2. *How AU Prevents Harm*
    - Careful staff and volunteer recruitment.
    - No hiring children under 15; follow rules for young workers.
    - Risk assessments for all students, outreach, or research activities.
    - Parent/guardian consent for children in AU activities (research, photos, unaccompanied visits).
    - Contractors and service providers must follow safeguarding standards.
    - Training for staff and students on recognizing and reporting abuse.
3. *Confidentiality*
    - Records are stored securely.
    - Information is shared only when needed to protect someone.

Key roles and responsibilities

1. *University Leadership*
    - Ensure AU's compliance with Saudi law and safeguarding best practice.
    - Allocate sufficient resources for training and implementation.
2. *Local Safeguarding Officers (LSOs)*
    - Provide first-line support and advice on safeguarding matters.
    - Maintain a register of safeguarding contacts (published on the AU intranet).
    - Promote safeguarding awareness and training.
    - Escalate cases to external authorities when required.
    - Ensuring information provided to children and adults at risk is accessible and age appropriate.
3. *All Staff and Students*
    - Must read, understand, and comply with this Policy.
    - Report safeguarding concerns promptly and responsibly.
    - Cooperate with investigations and safeguarding procedures.

Reporting Steps (Simple Guide)

- Notice concern.
- If urgent → call 999.
- If not urgent → tell the LSO.
- LSO may report to MHRSD (1919) or other authorities.
- AU supports the person at risk and keeps records safe.

Related Policies

- Saudi Labor Law.
- Child Protection Law.
- Law of Protection of Abuse.
- AU Research Policies & Procedures (sections 3.5–3.10).
- AU Health, Safety & Wellbeing Policy.
- AU Code of Conduct.
- AU Data Protection Policy.
- AU HR Policies.

Faculty Workload Policy -HR005

Policy Code

HR005

Policy Purpose

This policy supplements the Faculty Handbook to provide detailed guidelines for assigning faculty teaching workload across all colleges at Alfaisal University. The workload policy will ensure equity and consider the overall faculty activity and productivity in teaching, research, and service.

General Workload Guidelines

All academic staff at Alfaisal University are expected to engage in teaching, research, and service. The base faculty workload is determined as a percentage of effort spent on each activity (teaching, research, and service) per the faculty appointment level as illustrated in Table 1.

Table 1. Faculty workload as per academic rank

Academic Rank	Teaching (%)	Research (%)	Service (%)
Professorial Rank	50%	35%	15%
Lecturer/Instructor	75%	10%	15%

The precise balance between these categories should be determined by the department chair for each faculty member based on the type of faculty appointment (per Table 1), level of engagement in each category, and formal evaluation process that documents workload productivity (e.g., Faculty Activity Report). The annual evaluation of workload productivity should be considered for the renewal of faculty contract. Exceptions to faculty workload require approval at the college and university level.

Faculty Teaching Workload

As per Alfaisal University Faculty Handbook, faculty members at the professorial rank are expected to teach 10 to 14 credit hours per semester. Instructors, lecturers, and senior lecturers are expected to teach 14 to 18 credit hours per semester. The department chairs in coordination with the college dean must develop a faculty workload plan based on the needs of the department while ensuring equity and allowing individual faculty members to achieve their annual performance goals.

Given the different teaching and research expectations for faculty members, the following two base teaching loads are recommended for full-time teaching staff per 9-month academic year:

Professorial Rank: 6 courses, 9 credit hours per semester.

Lecturer/Instructor: 9 courses, 13-14 credit hours per semester.

Faculty members can be assigned to teach courses offered in their area of specialization for other programs within Alfaisal University irrespective of their college affiliation to meet their teaching obligations. Teaching courses for other colleges or graduate programs within Alfaisal does not constitute an excessive workload for extra compensation if the overall faculty teaching load is within the specified expectations outlined in the Faculty Handbook. When assigning teaching duties, priority should be given to mandatory courses within college, followed by elective courses within the same college, then courses offered by other colleges with the approval of the college Dean.

Credit Hours

As per the National Qualifications Framework (NQF), one credit hour is equal to fifteen contact hours. Where one contact hour should be at least (50) minutes for lecture session and at least (100) minutes for practical or lab session.

- Lecture/Seminar: 1 credit hour = 15 actual contact hours
- Practical/labs: 1 credit hour = 30 actual contact hours

For courses taught by multiple faculty members, the teaching load should be calculated based on the actual contact hours (e.g., 15 contact hours = 1 credit hour for a theoretical lecture).

Base Workload Exceptions

Exceptions to the base workload distribution may be assigned to support funded research, new faculty to establish their research program, and situational department, college, or university needs. Any exception must be submitted in writing to the college dean for an initial approval and the President for the final approval.

Changes to the workload may be assigned if the faculty research and service productivity does not meet expectations as defined by the annual evaluation. The department chair may increase teaching or service workloads with the approval of the Dean for the following reasons:

- Insufficient research productivity
- Lack of research funding following a teaching load reduction
- Insufficient service activities
- To meet the needs of the department

Public Interest Disclosure (Whistleblowing) Policy -HR006

Policy Code
HR006
Approved By
University Council
Policy Purpose
The aims of this policy are to:

- Encourage early reporting of serious concerns in good faith.
- Ensure reports are taken seriously and investigated promptly.
- Protect whistleblowers from retaliation, in line with Saudi Labor Law (which prohibits unfair dismissal or disciplinary action for lawful reporting of misconduct).
- Promote a culture of transparency, responsibility, and compliance.

Policy Scope

- Alfaisal University (AU) is committed to integrity, accountability, and compliance with the Laws of Saudi Arabia, including the Labor Law, the Anti-Bribery Law (1992, amended 2015), and the Anti-Cybercrime Law (2007).
- This Policy provides a safe and structured way for staff, students, and other stakeholders to raise concerns about suspected misconduct, wrongdoing, or risks to health, safety, and reputation.
- It applies to:
  - Employees of AU at all levels.
  - Contractors, consultants, and agency staff.
  - Former staff where the issue relates to their employment at AU.
  - Registered students and volunteers.
- *This policy is not for personal grievances (e.g., promotions, work conditions). Those should follow Staff Grievance Procedure or Student Complaints Procedure.*

What is Whistleblowing?

Whistleblowing means reporting a concern that affects the public interest or the integrity of the University. This includes:

- Criminal activity (e.g., fraud, bribery, theft).
- Breach of Saudi laws.
- Miscarriages of justice.
- Risks to health, safety, or the environment.
- Financial mismanagement or misuse of AU resources.
- Breach of AU policies, Code of Conduct, or ethical standards.
- Failure to comply with any legal or professional obligation or regulatory requirements.
- Abuse of authority or harassment.
- Unauthorized disclosure of confidential information.
- Conduct that is likely to damage reputation.
- Negligence.
- Concealment of any of the above.

Raising a Whistleblowing Concern

- Concerns should be raised promptly through one of the contacts listed in Section H.
- Reports may be made verbally, in writing, or by email.
- AU encourages openness. Where confidentiality is requested, AU will protect the whistleblower's identity as far as legally possible.
- Anonymous reports are not encouraged, however, they might be considered, but they may limit AU's ability to investigate effectively.
- For urgent legal or criminal matters, individuals may also report directly to Saudi authorities, including:
- Ministry of Human Resources & Social Development (MHRSD) – hotline 19911.
- National Anti-Corruption Commission (Nazaha) – 19991.
- Police / Emergency services – 999.

Investigations

- Once a concern is received, the Designated Officer will arrange a meeting to discuss details. The whistleblower may bring a representative (colleague, student, or adviser).
- An investigator or panel may be appointed, with relevant expertise and independence.
- The investigation will be conducted fairly, confidentially, and in line with Saudi Labor Law and AU's internal regulations.
- Findings may lead to corrective action, disciplinary measures, or referral to external authorities.
- Whistleblowers will be updated on progress, unless confidentiality prevents disclosure of specific details.
- If a complaint is proven to be malicious or raised in bad faith, disciplinary action may be taken against the individual.

Protection and Support for Whistleblowers

- AU strictly prohibits retaliation against whistleblowers who raise concerns in good faith.
- All employees have the right to report misconduct without unfair dismissal or penalty.
- Retaliation (e.g., demotion, harassment, reduction of hours, threats, or dismissal) will be treated as serious misconduct and may result in disciplinary action.
- Support (counseling, advice, HR support) will be made available to whistleblowers.

Responsibilities

- University Council: Holds overall responsibility for this policy and ensures reports are addressed.
- Secretary General of the University Council: Manages day-to-day implementation and ensures training and awareness.
- Human Resources & Student Affairs: Provide confidential support, record concerns, and ensure fair handling.
- All Staff, Students, and Stakeholders: Must report suspected wrongdoing and cooperate with investigations.

Contacts

- Secretary General of University Council
- Chair of University Council
- President of the University
- Dean of Student Affairs
- Director of Human Resources
- College Deans

Hiring Policies & Procedures for Post-Doctoral Research Fellows -HR007

Policy Code
HR007
Approval Date
Mon, 04/14/2025 - 12:00
Policy Scope
The major aim is to enhance PhD level graduate studies and research & innovation by ensuring a transparent, consistent, and efficient process for hiring highly qualified Post-Doctoral Researchers that will support the university's academic & research objectives to be in the world’s top 200 rankings. The hiring policies will follow two tracks either through internal funds (i.e., Alfaisal University resources) or external funds (e.g., financial support from companies, government ministries, NGOs) based on grants or contracts associated with the research. These are temporary research and not teaching appointments.

The two policies and their specified duration are as follows:

- Internally funded post docs: One-year contract is awarded, which may be renewed subject to the performance evaluation and availability of funds.
- Externally funded post docs: Determined based on the external funding source and the terms of the funding agreement.

Hiring Process for Assigning Internally & Externally Funded Post-Doctoral Researchers

Process & Criteria for Assigning Post-Docs to Faculty using only University Funds

- Faculty must articulate a clear need for a postdoc, explaining how their involvement is critical to advancing research projects, achieving results, contribute to ongoing projects, or meeting deadlines.
- Faculty should demonstrate a strong track record of research productivity, such as publications in reputable peer-reviewed journals as the primary or corresponding author and successful grant applications.
- The faculty's research goals should align with the broader mission and strategic priorities of the university.
- Faculty should outline how hiring a postdoc will help position the faculty member for future external funding opportunities.
- Faculty needs to indicate how a postdoc would contribute to building a more productive and collaborative research environment including mentorship, knowledge transfer, and skill development for undergraduate and graduate students.

Process & Criteria for Assigning Post-Docs to Faculty using Funds from External Grants & Contracts

- Selection & hiring must follow external funding agency rules.
- Funds must come primarily from outside grants & contracts and may be supplemented by university if needed.

Recommendation & Funding

Postdoctoral Researchers are hired for a fixed term, based on the availability of funds recommendation of the faculty member (Principal Investigator, PI).

Evaluation of Request

Before advertising the Office of Research and Innovation (ORI) UHC will assess the hiring request or need to confirm the availability of funding and to ensure the advertised candidate's qualifications are aligned with the tasks outlined in the project.

Job Advertisement

All Postdoctoral positions must be advertised through the University Job Portal at https://jobs.alfaisal.edu as well as the Chronicle for Higher Education, as per University Hiring Committee (UHC) policy https://www.alfaisal.edu/en/hr-uhc. The advertisement must clearly state a required research output of 2 to 3 papers per year.

Selection Process

The College Hiring Committee is responsible for reviewing, interviewing, and ranking the applicants for Postdoctoral positions as per university hiring policy.

Document Submission

A detailed checklist can be found in Appendix A and on the University HR website https://www.alfaisal.edu/en/hr-uhc. Colleges must submit the following to the University Hiring Committee (UHC):

- Curriculum Vitae (CVs) of candidates
- Job Descriptions (JDs)
- Copy of Chronicle of Higher Education Advertising
- Duration of the proposed contract

Shortlisting

The College Hiring Committee must submit the top three candidates along with their supporting documents to the University Hiring Committee for final approval. It is recommended that ORI & GS be consulted during the selection process since the hiring of Post Docs will be of primary benefit to graduate students and research faculty.

University Hiring Committee Review

The University Hiring Committee will review the submitted documentation and communicate its recommendation to the University President for final approval https://www.alfaisal.edu/en/hr-uhc.

President’s Office Review

The President’s Office will review & approve the recommendation, in consultation with the Human Resources Dept (HR), to confirm the availability of required visas and ensure compliance with any visa restrictions.

Position Title & Duration

- Title shall be Researcher or Post Doctoral Research Fellow
- The contract duration for externally funded post docs is determined based on the external funding source and the terms of the funding agreement. For internally funded post-docs, a one-year contract is awarded, which may be renewed subject to the performance evaluation and availability of funds.

Reporting Structure

- The Researcher or Post Doc Fellow will report directly to the faculty member (PI) providing the funding for the position and/or that has the main supervisory responsibility.
- Contract renewal is contingent upon supervising faculty members' recommendations and the review of the Faculty Activity Report (FAR). The ORI may be consulted in this process.

Position Grade

- Postdoctoral Researchers and those with a PhD: **Grade 7**
- Research Assistants with a Master's degree: **Grade 6**

Salary & Benefits

- Basic Salary: Determined by the available external funding, within the instructor grade category.
- Allowances:
  - Saudi Nationals: 25% Housing allowance; 10% Transportation allowance
  - Non-Saudis: 25% Housing allowance; 25% Cost of Living allowance
- Work Visa: If required, will be provided by the University.
- Annual Vacation: 21 working days per year.
- Air Tickets: If a work visa is issued, the University will provide travel at the beginning and end of the contract. Annual Vacation Ticket will be provided for non-Saudi employees if the contract is renewed. One annual return ticket for single employees while for families one annual return ticket per family member.
- Contract Renewal: Subject to the supervisory faculty member's recommendation, the FAR and the recommendation of the ORI. The publication output will be a key factor.
- Contract Type: Available in both Single and Family Status options.
- Medical Insurance: Provided as per Alfaisal University policy.
- Schooling Allowance: Up to SAR 40,000 per eligible child, for up to two children.
- Exit/Re-entry Visas: For Single Status, one exit/re-entry visa with annual leave. For Family Status, one exit/re-entry visa with annual leave for each family member.

University Hiring Committee Candidates Evaluation Checklist

Position Information	**Other Information**
Job Title:	Number of Positions Required
Department:	College:
UHC Meeting #:	Date

No.	**Description:**	**Included (Yes/ No/NA)**	**Note**
1	Manpower Plan (UHC-MP)	☐Yes ☐No ☐NA	
2	Approved Academic Position Requisition Form (UHC-APRF)	☐Yes ☐No ☐NA	
3	Position advertisement **Link** & Job Description	☐Yes ☐No ☐NA	
4	Candidate Interview Summary (UHC-CIS) signed by all Search Committee (SC) members	☐Yes	

No.	Description:	Included (Yes/ No/NA)	Note
		☐No ☐NA	
5	Search Committee (SC) meeting minutes. (Minutes should include the total number of applicants applied, shortlisted, interviewed, and recommended for hiring)	☐Yes ☐No ☐NA	
6	Search Committee Ranking Sheet (UHC- SCRS) (minimum 3 candidates per position)	☐Yes ☐No ☐NA	
7	Curriculum Vitae (CV) of top 3 candidates	☐Yes ☐No ☐NA	
8	Promotion Letters for professorial ranks higher than Assistant Professor	☐Yes ☐No ☐NA	
9	List of courses candidate will teach	☐Yes ☐No ☐NA	
10	Consideration/commitment for diversity	☐Yes ☐No ☐NA	

Promotion Policy for Senior Lecturers to Assistant Professors -HR009

Policy Code
HR009
Approval Date
Wed, 03/19/2025 - 12:00

Introduction

This policy outlines the criteria and procedures for promoting senior lecturers to the rank of assistant professors within our esteemed institution. The promotion process is designed to recognize and reward academic excellence, commitment to teaching, impactful publications, and significant contributions to community service.

Criteria for Promotion

1. **Degrees: PHD or equivalent**
    a. Degree must be obtained before joining Alfaisal University
    b. Degree must be received from a recognized and accredited University.
    c. Degrees should be earned through Full Time/Regular Mode only, degrees earned through online/ distance/hybrid are not acceptable.
    d. Degrees must not be obtained while the applicant is a FT employee in Alfaisal or any other institution or organization.

2. **Publications:**
    a. Senior lecturers seeking promotion to assistant professor should demonstrate a consistent record of scholarly publications in reputable peer-reviewed journals, conferences, or academic presses.
    b. Emphasis will be placed on the quality, relevance, and impact of publications within the candidate's field of expertise.
    c. The following number of publications (i.e., refereed journal paper) are required to meet the criteria for promotion from Senior Lecturer to Assistant Professor:
        I. 1 publication unit for faculty in Humanities, Architecture, Law, and Business
        II. 1.5 publication units for faculty in Medicine, Pharmacy, Engineering and Science

        Publication units to be calculated as follow:

        - 1 unit if it is single authored.
        - 1/2 unit if it has two authors.
        - 1/2 unit for the first author in publication with more than two authors,
        - 1/4 unit for each of the others co-author.
3. **Teaching Evaluations:**
    a. Candidates must exhibit excellence in teaching, as evidenced by consistently positive evaluations from students, peers, and departmental reviews.
    b. Teaching effectiveness will be evaluated based on pedagogical innovation, student engagement, and the ability to create an inclusive and dynamic learning environment.
    c. A comprehensive teaching portfolio, including syllabi, assessment strategies, and student feedback, should accompany the promotion application.
4. **Community Service:**
    a. Candidates are expected to actively engage in community service activities that contribute to the university's mission and demonstrate a commitment to societal impact.
    b. Community service may include participation in academic committees, outreach programs, collaborations with local organizations, and initiatives that promote the university's presence in the wider community.
    c. The impact and significance of community service contributions will be assessed through documented evidence and recommendations from relevant stakeholders.

Promotion Procedure

1. **Eligibility:**
    a. Senior lecturers with a minimum of two years of fulltime service at the university are eligible to apply for promotion. Or one year at Alfaisal university if already more than 2 years in total after the PhD degree
    b. Candidates must meet the outlined criteria in degrees, publications, teaching evaluations, and community service.
    c. Availability of a post as assistant professor at the related department
2. **Application:**
    a. Candidates must submit a comprehensive promotion dossier, including a cover letter, curriculum vitae, degree copies, teaching portfolio, publication list, and evidence of community service contributions.
    b. Approval of the department head and the college dean
3. **Evaluation:**
    1. The University Hiring Committee (UHC) will thoroughly review the promotion dossier.
    2. External peer reviews may be solicited to provide an objective evaluation of the candidate's scholarly contributions.
4. **Recommendation:**
    1. The committee will submit its recommendations to the President via the University Scientific Council for final approval.
    2. Successful candidates will be notified promptly, and the promotion will be effective at the beginning of the next academic year.

Conclusion

This promotion policy seeks to uphold the academic standards and values of our institution, ensuring that faculty members progressing from senior lecturer to assistant professor embody excellence in research, teaching, and community service. The implementation of this policy reflects our commitment to fostering a vibrant and intellectually stimulating academic environment.

Unified Code of Ethics & Integrity -HR010

Policy Code

HR010

Policy Purpose

This Unified Code of Ethics integrates existing ethical standards across teaching, research, and administration to foster a cohesive culture of integrity, transparency, and accountability.

Policy Scope

It is designed to ensure that all members of the Alfaisal University community uphold the highest standards of ethical and professional conduct in alignment with the university's values, Saudi Arabian laws, and global academic norms.

This policy applies to:

- Faculty and researchers
- Administrative and support staff
- Students (undergraduate and graduate)
- Consultants, visitors, and external collaborators
- All governance bodies and academic units

2. Core Ethical Principles

Alfaisal University affirms the following foundational values:

- *Integrity:* Acting honestly and upholding moral and professional standards in all activities.
- *Transparency:* Ensuring open communication, fairness in decision-making, and access to relevant information.
- *Accountability***:** Taking responsibility for actions, decisions, and their consequences.
- *Respect:* Honoring human dignity, and local cultural and religious values.
- *Social Responsibility:* Aligning research, teaching, and administration with the broader interests of society and ethical good.

3. Ethical Standards in Teaching

Faculty and instructional staff shall:

- Foster academic honesty, scholarly rigor, and mutual respect in the classroom.
- Uphold academic freedom within the boundaries of Saudi law, and institutional values.
- Maintain professionalism in all student interactions and avoid discriminatory, exploitative, or harassing behavior.
- Provide fair and merit-based evaluation of students and protect student privacy.
- Adhere to all curriculum regulations including proper syllabus provision, office hours, and student rosters.
- Acknowledge student contributions to research through co-authorship or formal recognition.
- Refer students with sensitive personal issues to Student Affairs counselors.

4. Ethical Standards in Research

4.1 Research Conduct

Faculty and researchers must:

- Conduct research with honesty, rigor, and scholarly integrity.
- Avoid fabrication, falsification, plagiarism, and other forms of academic misconduct.
- Comply with the university's *Research Misconduct Procedures* and national research laws (https://research.alfaisal.edu/storage/app/media/pdf/Research-Policies- &-Procedures-2025.pdf).

4.2 Human and Animal Subjects

- All research involving living creatures (humans, animals, plants) must obtain approval from the Alfaisal *Institutional Review Board* (IRB) in accordance with the Saudi Law of Ethics of Research on Living Creatures (https://irb.alfaisal.edu/).
- IRB approval is required before conducting or publishing such research.
- Non-compliance will be considered a serious ethical breach and may be subject to external legal action.

4.3 Use of Academic Data

- Use of course-based data (grades, feedback, evaluations) does not require IRB approval unless intended for publication or public presentation.

4.4 Conflict of Interest in Research

- Faculty must disclose any personal, financial, or professional conflicts of interest in research funding, collaborations, or publication.
- A Conflict-of-Interest Declaration must be submitted with IRB applications, if applicable.

4.5 Research Integrity Risk Index (RI^2)

- RI^2 is the world's first empirically grounded, composite metric designed to identify and profile institutional-level risks to research integrity (https://sites.aub.edu.lb/lmeho/ri2/about/).
- Created in response to growing concerns about how global university rankings incentivize volume- and citation-based publishing at the expense of scholarly integrity.
- RI^2 evaluates institutions based on three independent, verifiable indicators:
  - *D-Rate*, the percentage of an institution's publications appearing in journals that were recently removed from Scopus or Web of Science for failing to meet quality or publishing standards
  - *R-Rate*, the number of retracted articles per 1,000 publications, capturing evidence of serious methodological, ethical, or authorship violations.
  - *S-Rate*, the percentage of citations to an institution's articles that originate from the same institution, emphasizing citation practices aimed at artificially boosting institutional metrics rather than reflecting genuine scholarly influence.
- Coverage window is three years, with indicators normalized and averaged to produce a 0-1 score.
  - Each institution is placed into one of five risk tiers (from Red Flag to Low Risk) based on a fixed reference group of 1,000 most publishing universities worldwide.
- RI^2 is diagnostic, not punitive.
  - A "red flag" or "high-risk" designation is not an accusation of misconduct, but rather a signal to reflect, investigate, and strengthen institutional safeguards.
  - Intended to encourage constructive reform and informed dialogue, especially in systems where structural and contextual challenges affect research governance.
  - Currently Alfaisal University is in the "*Low Risk*" category in the *MedicaLSciences & Health* field indicating strong adherence to publishing integrity norms.

5. Ethical Administration & Business Conduct

Administrative and operational staff shall:

- Act with fairness, honesty, and impartiality in all official duties.
- Ensure that university records, audits, and financial practices are accurate and transparent.
- Avoid any form of corruption, favoritism, or abuse of authority.
- Protect confidential information and use data responsibly.
- Implement procurement and HR practices that are inclusive, legal, and merit based.

6. Conflict of Interest Policy

All employees must:

- Avoid actual or perceived conflicts of interest, especially those involving university decisions or resources.
- Not engage in business dealings (directly or indirectly) with university contractors if they hold personal financial interest.
- Not influence procurement decisions for personal gain.
- Not accepting gifts of more than nominal value* from any external entity doing business with the university.
- Not misuse university funds or resources.
- Not hold controlling interest in any firm doing or intending to do business with the university.
- Not engage in outside work unless permitted under university policy and without conflict with institutional responsibilities.
- Report all potential conflicts in accordance with HR and research policies.

Violations of this policy are grounds for immediate dismissal without benefits, and where applicable, referral to Public Prosecution.

7. Academic Freedom & Legal Boundaries

Faculty are entitled to academic freedom in teaching and research but must:

- Respect legal restrictions under Saudi law.
- Not introducing inappropriate or unrelated content in classrooms.
- Refrain from illegal activities, including possession or use of banned substances or materials.

8. Ethics Oversight & Reporting

8.1 Institutional Review Board (IRB)

- Handles all research ethics matters involving living creatures.
- Reports to the *National Committee of BioEthics (NCBE)* (https://ncbe.kacst.gov.sa/en/).
- The IRB is independent of the university

9. Reporting Violations

- All members of the university community may report misconduct confidentially.
- Whistleblowers are protected from retaliation under university policy (*UC approval 30 Sept 2025*).

10. Training & Compliance

- Mandatory ethics training for all faculty, staff, and researchers.
- Orientation for new faculty to include academic freedom within local context, IRB process, and professional expectations.
- Refresher courses conducted periodically by HR and the Office of Research.

11. Sanctions for Violations

Violations of this unified code, including research misconduct, conflicts of interest, or abuse of authority, may result in:

- Academic penalties (for students)
- Disciplinary actions or termination (for faculty/staff)
- Loss of research privileges or funding
- Referral to external authorities where applicable

12. Review & Updates

This Code shall be:

- Reviewed every three (3) years by the IRB and HR.
- Updated based on stakeholder feedback, legal developments, and changes in academic standards

***Nominal Value**: Employees may accept occasional gifts, meals, or promotional items of nominal value not exceeding SAR 500, provided such items are not cash or cash equivalents, do not create an appearance of favoritism or influence, and are reported if there is any doubt about their appropriateness*

AU Faculty Handbook 2023-2024 -HR011

Policy Code

HR011

Ethical Commitment

One of the most valuable assets of Alfaisal University is our distinguished reputation. Our institution is committed to lawful, ethical and professional conduct. The University can fulfil its mission only if we merit the trust of our entire constituency. All Alfaisal University faculty and employees are expected to carry out their responsibilities in accordance with applicable legal and ethical principles. If any questions arise about how the University's principles, or policies apply, they should be brought to the attention of the appropriate dean or University administrator.

Message from the President

Welcome to Alfaisal University,

Recruiting and retaining outstanding faculty will always be our priority here at Alfaisal University. The Faculty Handbook is meant to inform and to guide members of the faculty as to the accepted practices of the University.

In addition, the Handbook will also serve to advise all concerned of important University policies and procedures as they apply to our faculty. Review and observance of the policies included and referenced in this Handbook will serve as a foundation for meeting contractual obligations within the University.

Faculty are responsible for adhering to the policies and regulations within, and for staying apprised of any updates and changes to the Faculty Handbook.

Should the Faculty Handbook need to be revised as university policies evolve, an updated version of the Handbook may be viewed online to inform faculty of any changes to University policies, procedures, or regulations.

Wishing you every success,

Prof. Mohammed Alhayaza

President

1. The University and It's Organization

1.1 History of The University

The King Faisal Foundation (KFF) was established in 1976 by the heirs of the late King Faisal to carry on his legacy of “gifts of hope” that result in harvests of educated and prosperous individuals. The deeply held principle was that a well-educated population was the foundation for a strong nation.

The Foundation has always promoted a pragmatic approach to furthering the opportunities for Saudi youth. The creation of a university that strives to achieve excellence in several fields is yet another important advance towards fulfilling its desire to enrich the country’s enterprising individuals with the ability to compete on a global level.

Financial support provided by the King Faisal Foundation has produced the King Faisal School, Prince Sultan College of Business, and Effat University (for women). KFF has launched Alfaisal University as the premier coeducational institution for business, engineering, medicine, science, general studies, and healthcare sciences, which provide education and research in the Kingdom and the region.

Development of Alfaisal University began in 1999. The first Concept Paper regarding the University was prepared in late 2000 with the support of the Carlyle Group. It was submitted to the Economic Offset Committee in February 2001 to qualify the University under the Economic Offset Program. Approval was received in July 2001. Four non-Saudi multinational companies agreed to become co-founders along with six Saudi institutions. In April 2003 the Offset Committee granted a multiple of eight offset credits to the non-Saudi co-founders for cash contributions.

The Board of Trustees negotiated with the Ministry of Education (MOE) to secure an acceptable Charter that assured the independence of the University. The Charter (#10905) was approved by the Ministry on July 10, 2004 and unanimously ratified by the Board of Trustees on October 25, 2004.

Alfaisal was established with the aim of being a private non-profit world-class university that offers its students the latest knowledge in a state-of-the-art environment. Alfaisal espouses all the noble virtues that form the bedrock of the Foundation’s educational activities: to promote learning, research, and the implementation of technology in a manner that promotes the Kingdom’s employment and career objectives for its citizens. Education at Alfaisal is international in approach with instruction in the English language. Our programs are student-centered, utilize problem-based learning and foster team-based skills. Alfaisal will enable its graduates to gain internationally recognized qualifications through an exclusive education imparted to them from within the Kingdom itself.

The campus is situated on the beautiful grounds of the late King Faisal’s Palace at Al Maathar in the center of Riyadh, a historical location ideal for academic pursuits. The first two campus buildings (Science and Business) were completed in 2008 and 2009, respectively. Students began University studies in Engineering, Business, and Medicine in October, 2008 with majors in the College of Science and General Studies beginning in September 2011, College of Pharmacy starting in 2016, and College of Law and International Relations starting in 2021. A Master of Business Administration (MBA) was initiated in 2010 and other graduate degrees in Engineering and Medicine were launched in 2012. The first females were admitted in September 2011. The University will eventually enrol more than 4000 male and female students.

1.2 Location and Climate

Riyadh, which means “the meadows” in Arabic, is the capital of Saudi Arabia and is located in the Central Province. The climate is much like that of the American Southwest. Summers bring extreme heat and dryness, followed by mild winters with cool nights and rare precipitation. Summer clothes are worn most of the year, but some warm clothing is necessary for the winter months.

The present population of Riyadh is over eight million. The city is linked to the seaport in Dammam by a railroad and to all parts of the Kingdom by an extensive network of roads. The national air carrier, Saudi Arabian Airlines, and other major airlines serve all major cities in the Kingdom and numerous international locations from the modern airport in Riyadh.

1.3 Philosophy of The University

The University's vision statement is as follows:

"Alfaisal University is a private non-profit institution which aspires to be a world-class research university committed to the creation, dissemination and application of knowledge in the fields of business, engineering, life sciences and medicine, and to the development of knowledge-based economies."

The Mission statement for the University reads:

"Alfaisal University is a student-centred university which creates and disseminates knowledge through world-class undergraduate and graduate education programs, research and service that benefit the Kingdom of Saudi Arabia, the region and the world, and stimulate the development of knowledge-based economies."

1.3.1 Alfaisal University's core values:

- Culture : Understand and value core elements of Saudi culture.
- Knowledge : Contribute new knowledge in the fields of science and technology.
- Performance : Commit to continuous improvement in performance and quality.
- Faith : Honour the role of faith in life.
- Integrity : Demonstrate professional and institutional integrity.
- Responsibility : Embrace social and environmental responsibility.
- Honesty : Demonstrate honesty in one's actions and treatment of others.
- Service : Provide value-added service at the local, regional and international levels.
- Learning : Instil the habit of life-long curiosity and learning.
- Equal opportunity : Strive for equal opportunity within the context of valuing talent and ability.
- Leadership : Demonstrate leadership with respect to academics, research and service, and build leaders.

In keeping with other activities sponsored by KFF, Alfaisal will be expected to establish a reputation as one of the leading universities in the world. In addition to developing relationships with major Saudi and Western businesses, Alfaisal has reached a cooperative understanding with King Abdulaziz City for Science and Technology (KACST) for engineering and science and with King Faisal Specialist Hospital and Research Centre (KFSHRC). These are the premier research and healing institutions within the Kingdom. to ensure effective development of its educational and research programs in business, engineering, medicine and life sciences, Alfaisal is actively seeking partnerships with international institutions. Partners Healthcare International (PHI) (formerly Harvard Medical International) has signed a 10-year agreement to provide help with curriculum and facilities design, faculty development and college governance for the College of Medicine, and the College of Pharmacy.

A fundamental strategy is the adoption of the best of international higher education systems as the model, with appropriate adaptation to local needs. Consistent with this model, English is the language of instruction in all subjects except Arabic Language and Literature, and Islamic Studies. This ensures the currency of technical materials and the development in our graduates of effective skills for communication with the managerial, technical and scientific leadership of major national and international industries.

In spite of the immensely important characteristic of national origin, Alfaisal University is in many respects an international university. It has a multi-national faculty, derived from the major international sources of science and technology, with selection based on professional quality rather than national origin. Although most of the students will be Saudis, many international students will be enrolled at the undergraduate and graduate levels.

The University's curricula are designed to meet national and international standards and will lead to degrees that have international recognition and currency. In addition to accreditation within the Kingdom of Saudi Arabia, Alfaisal University will seek international accreditation for the College of Business (COB) from the Association to Advance Collegiate Schools of Business (AACSB) and the College of Engineering (COE) from the Accreditation Board for Engineering and Technology (ABET) in the U.S.A. and accreditation agencies in the United Kingdom and Europe. Its alumni are expected to be employed worldwide.

1.4 University Governance and Adminstration

The governance structure of the University is a "work in progress." The descriptions of the major governing bodies that follow are a combination of what is specified in the University's Charter and what the University aims to have in place when it reaches steady state with respect to numbers of faculty and students.

1.4.1 Founder's Board

The Founder's Board has ten members where each co-founder organization is represented by one member of the Board. They are:

- The King Faisal Foundation
- Dallah Albaraka
- Al Jomaih Holding Company
- Saudi Oger Limited
- Saudi Bin Ladin Group
- King Faisal Specialist Hospital and Research Center
- BAE Systems (U.K.)
- Boeing Company (U.S.A.)
- United Technologies (U.S.A.)
- THALES (France)

The Founders Board has the power to invite other co-founders, whenever necessary, to provide additional financial or in-kind contributions to assure achievement of the University's mission and goals. The Founders Board and its members also have the power to collaborate with the University Trustees in fund-raising; recruiting officers, faculty and staff; design and development of the campus facilities; and such actions as may be reasonably necessary for the University to inaugurate and maintain the University or any of its facilities and to enrol and teach students. In addition, the Founders Board has the power to nominate new members for the Board of Trustees and to submit nominations for new members to the King Faisal Foundation. Alfaisal is currently searching for additional co-founders from organizations that have strategic, educational, research and long-term presence and influence within the Kingdom.

1.4.2 The Board of Trustees

Members of the Board of Trustees for Alfaisal University are appointed by King Faisal Foundation. The Board's membership reflects a set of disciplines and areas of expertise that serve the University well. The current membership of the Board is:

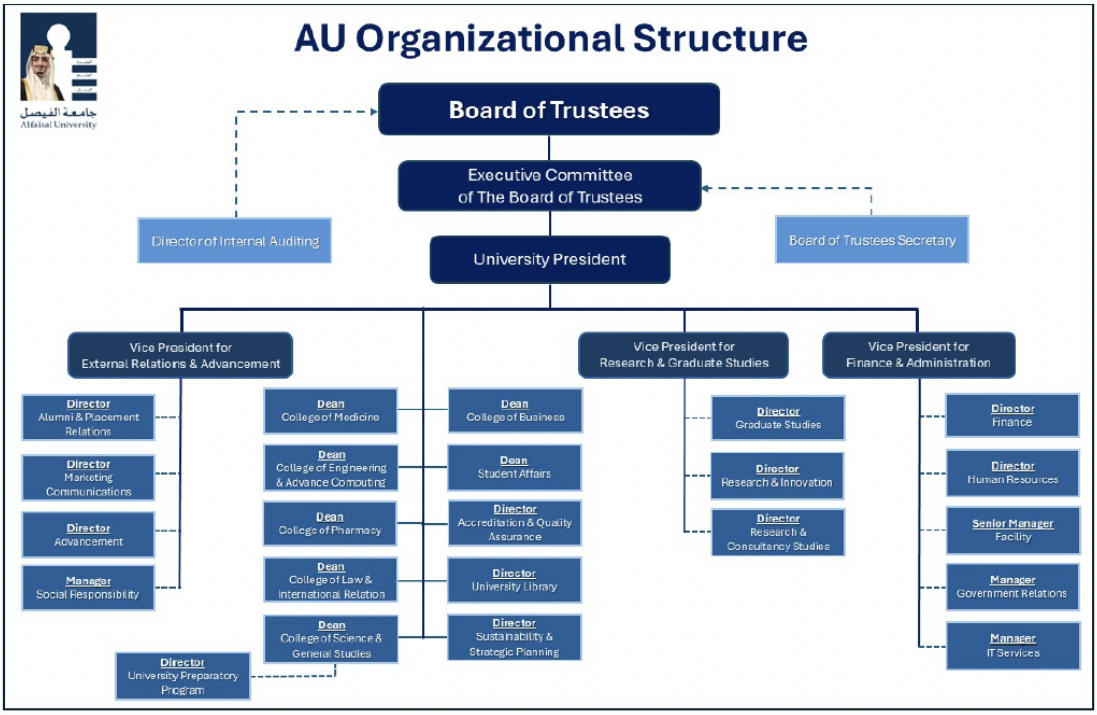
- Ten co-founders in Section 1.4.1 above (except Saudi Oger Limited)
- Three representatives of King Faisal Foundation (total of four)
- A representative of the Ministry of Education (MOE)
- Four senior faculty representatives from Public universities
- The President of Alfaisal University

Subject to compliance with the provisions of the Charter of Alfaisal University, and to the extent not in conflict with the Private Universities' regulations and the applicable rules and regulations of the Kingdom, the Board of Trustees shall have exclusive jurisdiction over the direction and control of the University, its Academic Programs and its Business and Financial Affairs. In connection therewith, The Board of Trustees shall have the powers outlined in the Charter of Alfaisal University. In particular, The Board selects and appoints the officers in charge of the

Academic Programs and of Business and Financial Affairs, approves the University internal regulations and amendments thereto, administers invested funds, approves the annual budget, approves the salary scale of the faculty, officers and members of the staff of the University, and determines policies for operation and control of the University.

1.4.3 Organizational Chart

An organization Structure is a chart describing the reporting relationships and the formal arrangement of work positions within an organization. It identifies and shows divisions of work, supervisory relationships, communication channels, major subunits, and levels of management who make up the University.



1.4.4 Principal Officers of the University:

- **1.4.4.1 President**
  The President of Alfaisal University is appointed by the Board of Trustees, who shall delegate to the President, the following powers and responsibilities.
  - Provide the overall administrative and educational leadership for the University.
  - Appoint and provide direction to vice presidents, deans and faculty, their terms of office, dismissal and compensation.
  - Raise funds for the endowment and for building programs of the University.
  - Execute such other duties and responsibilities as may be delegated by the Board of Trustees to the President.
- **1.4.4.2 Provost and Vice President for Academic Affairs (Chief Academic Officer)**
  The Provost and Vice President for Academic Affairs will report directly to the President and will have the following duties and responsibilities.
  - Provide a focal point for overall leadership and coordination in the support and development of the academic and research efforts of the University.
  - Oversee the University's academic activities.
  - Coordinate the educational and research activities of the deans of the colleges.

The Provost, as the Chief Academic Officer, administers the academic programs (instruction and research in Colleges and other affiliated units) and University services in support of the academic program (student affairs, libraries and information resources, and institutional planning). The Provost shares with the President conduct of the University's relations with other educational institutions, groups, and associations.

- **1.4.4.3 Vice President for Finance and Administration**
  The Vice President for Finance and Administration is appointed by and reports directly to the President and performs duties assigned by the President. He is the Chief Financial Officer of the University. His responsibilities include serving as Treasurer of the Board of Trustees. The Departments of Human Resources, Finance and Accounting, Information Technology, Government Relations, and Facilities report to the Vice President for Finance and Administration.
- **1.4.4.4 Vice President for External Relations**
  The Vice President for External Relations is a member of the executive management team and reports directly to the President. The Vice President has responsibility for the strategic planning and management of the University's marketing, public relations, branding, publications, and media relations, fund raising, advocacy, and outreach. The Departments of Public Relations and Marketing, Alumni and Placement Relations, and Advancement report to The Vice President for External Relations.
- **1.4.4.5 Vice Provost for Research and Graduate Studies**
  The Vice Provost for Research heads the Office of Research and oversees the development of graduate studies in the various Colleges. Reporting to the President, he is responsible for management and promotion of research activities that are carried out by the academic departments through external or internal funding. In addition, he is responsible for the Business Incubator, the Office of Technology Commercialization, and the Saudi Alliance for Business Technology, and also chairs the University Research Council.
- **1.4.4.6 Dean for Student Affairs**
  The Dean for Student Affairs heads the Offices of Undergraduate Admissions, Enrolment Services, Scholarships, and Student Activities. Reporting to the President, he has responsibility for recruiting, admitting, providing financial aid for undergraduates, registration of students, recording of grades, maintaining permanent student records, transcript evaluation of transfer students, and maintenance of a data base and permanent files of students. Student Affairs also is responsible for extra-curricular activities, student counselling and advising, cooperative and summer training programs, and student housing.
- **1.4.4.7 Director of the Library**
  The Director of the Library heads the University Libraries and report to the President. He is responsible for providing leadership in the development and fulfilment of the library mission and vision, as well as strategic goals and objectives, which support and extend those of the university. Serves on various university governance bodies, including University Council, Council of Deans, and other standing and university-wide committees.
- **1.4.4.8 Director of Accreditation and Quality Assurance**
  The Director of Accreditation and Quality Assurance is a member of the executive management team and reports directly to the President. He heads the Department of Accreditation and Quality Assurance and oversees the development of accreditation planning and implementation. The director is responsible for obtaining and maintaining institutional accreditation. He also assists all colleges and their respective programs in obtaining national and international accreditation.
- **1.4.4.9 Academic Deans**
  The Academic Deans are nominated by the Provost and Vice President for Academic Affairs, with the approval of the Board of Trustees, and report directly to the President/Provost. The dean of each college is responsible for the development and quality of the instructional and research programs that reside in the college and its departments, centres, and institutes. The Dean may convene an advisory group to assist in carrying out decanal responsibilities. The academic deans are full-time faculty members. They are in charge of college budgets and of all the activities of the department heads in their respective colleges.
  - **1.4.4.9a Vice Dean for Academic Affairs**
    The Vice Dean of Academic Affairs oversees the academic programs at the college. The main tasks includes coordination with different stakeholders, including students, to finalize semester schedule and

allocation of faculty to courses; implementation of the academic policies relevant to the undergraduate programs and internship (e.g. attendance, probations, academic integrity make-up exams, etc); playing an active role in student advising and taking initiatives which improves the learning experience of students; process student appeals (grade appeal, academic misconduct, and students complaints). Work with the college's leadership to assess the relevance and currency of the undergraduate curriculum and identify areas of improvement as aspired by the college and University mission.

- **1.4.4.9b Vice Dean for Research & Graduate Studies**
  The Vice Dean for Research & Graduate Studies oversees academic programs at the graduate level of the college, as well as the overall research portfolio. In graduate programs, on the strategic side, deals with the curriculum, its revisions, benchmarking, and establishing new graduate programs. On the operational side, the main tasks include coordination with different stakeholders, including students, finalizing semester schedules and exams, as well as allocation of faculty to courses, implementation of the academic policies relevant to graduate programs and research. The role includes student advising and taking initiatives which improves the learning experience of students; process student appeals (grade appeal, academic misconduct, and students' complaints), evaluate student progress and dismissals, work with the college's leadership to assess the relevance and currency the graduate curriculum and identify areas of improvement as aspired by the college and university mission. On the research side, works on Research to develop policies for research support, quality, conferences, and other venues.
- **1.4.4.9c Vice Dean for Accreditation and Quality Assurance**
  The Vice Dean for Accreditation and Quality oversees, manages, and fosters continuous improvement of accreditation and quality assurance operations at the college level. They are responsible for ensuring the quality of educational programs within the college and acquiring and upholding program accreditation. The Vice Dean works with all departments to collect and maintain data and information related to accreditation and quality assurance at the college level. They also coordinate with the Office of Accreditation and Quality Assurance at the university level to ensure compliance with accreditation standards and to maintain the quality of education across the institution. his position requires strong leadership, organizational skills, and an understanding of accreditation processes and quality assurance principles.
- **1.4.4.9d Chair of Department**
  The Chair of Department is a leadership position responsible for overseeing the strategic and operational aspects of the department. The Chair's primary duties include developing and implementing teaching plans, establishing a conducive research environment, meeting degree program requirements, encouraging professional growth, and aligning resources with faculty expertise. In addition, the Chair plays a pivotal role in ensuring departmental decisions support the broader goals of the Department, College, and University.
- **1.4.4.9e Program Director**
  Program Director is a faculty member assigned by the Dean to oversee the administrative aspects of the program within the college. Program Director provides leadership to the program and oversees all aspects of the program development, curriculum, evaluation, and scheduling. In departments with one program, the Chair of Department can serve as the Program Director. The Program Director is also responsible for monitoring student recruitment and retention, and fostering relationships with the community to promote program growth. In concert with the chairs of departments, the director is responsible for the management of program faculty, ensure adequate coverage for course offerings, conduct faculty searches; and provide feedback for tenure/promotion/rank decisions when appropriate.

1.4.5 Councils and Committees

1.4.5.1 University Council

The University shall have a University Council with the following membership:

- University President (Chairman).
- The university's vice presidents, with the most senior among them as the Vice Chairman.

- Deans of colleges and supportive deanships.
- University Centre and Institute Directors.
- Three individuals with substantial expertise in higher education (nominated by the university council and appointed by the Board of Trustees for a renewable term of three years).

Subject to compliance with the provisions of the Charter and internal By-Laws for Alfaisal University, and decisions of the Board of Trustees, the University Council shall have the right to manage and coordinate the university's academic programs. The university council shall undertake the following tasks:

1. Proposing the higher education institution's vision, mission, and goals, as well as its academic, administrative, and financial policies, and referring them to the Board of Trustees
2. Approving contracting with faculty members
3. Approving admission policies and their criteria and determining student intake numbers consistent with the institution's capacity
4. Recommending the approval of the bylaws governing the sponsorship and training of faculty members and individuals in similar roles and referring them to the Board of Trustees
5. Recommending the approval of the bylaws governing the support for scientific research, innovation, authorship, translation, and publication and referring them to the Board of Trustees.
6. Awarding academic degrees to graduates
7. Recommending the approval of academic programs for various academic degrees offered by the higher education institution and referring to the Board of Trustees.
8. Approving the particulars of the academic calendar consistent with the overarching framework delineating the commencement and conclusion of the academic year in the Kingdom of Saudi Arabia.
9. Proposing the tuition fees for the academic program and referring to the Board of Trustees.
10. Recommending the approval of the establishment of the Scientific Council and referring to the Board of Trustees.
11. Proposing the establishment, merger, dissolution, or modification of colleges, institutes, academic departments, and centers, including changes to their names, and referring to the Board of Trustees
12. Recommending the approval of establishing Scientific Chairs and referring to the Board of Trustees.
13. Recommending the approvals for establishing advisory councils, specifying their areas of specialization, delineating their operational guidelines, and referring to the Board of Trustees.
14. Recommending the approval of scientific and technical cooperation agreements and memoranda of understanding between the higher education institution and domestic and foreign entities and referring to the Board of Trustees.
15. Recommending the approval of the corporate social responsibility plan
16. Approving providing faculty services to public and private sectors and civil society institutions through secondment or contractual arrangements.
17. Approving faculty members' sabbatical leaves, scientific contact, and external scientific and academic engagements.
18. Approving faculty members' academic promotions in accordance with the scientific council's recommendations.
19. Approving the issuance of scientific journals and periodicals
20. Approving student activities plans.
21. Recommending the approval of the higher education institution's annual report and referring it to the Board of Trustees.
22. Recommending the ratification of the final accounts of the higher education Institution and referring to the Board of Trustees
23. Proposing the annual budget of the higher education institution and referring it to the Board of Trustees.
24. Reviewing matters referred to the council by its chair or proposed by any of its members.

1.4.5.2 College Councils

The dean of each college shall convene a College Council which shall consist of the dean, vice dean and department heads. The College Council will advise the dean on educational, financial and administrative affairs of

the college. A College Council shall meet at least once per month provided that two thirds of its members are present. Resolutions shall be adopted by a majority vote of the attending members. Should the votes be equal, the votes in favour of the dean shall be given preference.

Subject to compliance with the Charter and internal By-Laws for Alfaisal University, and decisions of the Board of Trustees, the University Council shall have the right to manage and coordinate College activities and their academic and extra-curricular student programs. Specific issues include:

- Establishment or discontinuation of college academic programs.
- Admission requirements.
- Internal rules and regulations.
- Rules, regulations, and processes for the conduct of scientific research.
- Study programs, curriculum, academic and student activities.
- Oversee accreditation processes.
- Deal with faculty development issues.

1.4.5.3 Department Councils
Each college department shall have a head and faculty. The department head shall determine the authority and breadth of responsibility of the department council and the manner of its performance. Subject to compliance with the regulation of the Charter and By-Laws of Alfaisal University and decisions of the Board of Trustees, the University Council and the relevant College Council, the department head may convene a department council to consider:

- Appointment of faculty, lecturers, and assistants.
- Adjustments of academic plans.
- Curricula, textbooks, and reference books.
- Research issues including the publication of research results.
- Student issues of a departmental nature.
- Faculty sabbatical-leave proposals.
- Proposals from faculty to attend professional conferences.
- Deal with faculty development issues.

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- Proposals from faculty to attend professional conferences.
- Deal with faculty development issues.

1.4.5.4 Research & Graduate Studies Council

The Research & Graduate Studies Council (RGC), which is chaired by the Vice President for Research & Graduate Studies, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Graduate Studies (ORG) is the administrative arm of the Council and is empowered on its behalf to enforce its regulations and policies. The Council membership consists of two faculty members from each of the different colleges nominated by their respective Deans within the institution. The duties and functions of the RGC consist of the following:

- The Research & Graduate Studies Council sets the policies and standards for graduate admission, and degrees in coordination with the Colleges.
- The Council reviews established degree programs and proposals for new fields of study or degrees; establishes qualifications and policies for Graduate Student Teaching Assistants and Graduate Student Research Assistants; responds to issues referred to it by the Vice President, the President's Office, and the Deans, and participates in reviews of existing graduate programs.
- Propose internal regulations, in coordination with academic departments and Student Affairs, for the organization of graduate studies.
- Propose, implement and supervise admission criteria into graduate studies.
- Study and recommend new programs for endorsement and coordinate them with current ones.
- Recommend graduate courses for approval, amendment and modification.
- Recommend titles of graduate degrees in both Arabic and English on recommendation of colleges' councils.
- Periodically assess graduate programs at the university through specialized committees from inside or outside the university.
- Study matters forwarded to it for consultation by the University Council, the Council of Deans or President's Office and offer suggestions and advice.

1.4.5.5 Scientific Council

The council shall be constituted for a duration of three years, as delineated below:

- The individual overseeing scientific research at the university (Chairman).
- Representative from each college/institute holding at least the rank of associate professor.
- Three faculty members from external institutions, each holding a rank of at least associate professor.

The Scientific Council, pursuant to its mandate, shall exercise oversight over the scientific matters pertaining to faculty members, research activities, studies, and publications. Specifically, it shall undertake the following duties.:

1. Recommending approval for contracting with faculty members at the university.
2. Recommending approval for the academic promotion of faculty members.
3. Recommending approval for sabbatical leave and scientific contact for faculty members and their external academic and scientific engagements.
4. Proposing policies governing the allocation of scholarships and training of faculty members and individuals in comparable positions.
5. Proposing policies to encourage scientific research, innovation, authorship, translation, and publication.
6. Reviewing matters referred by the university council.
7. The Scientific Council may form committees from its members or others to review assigned tasks.

1.4.5.6 Committee on Promotions

This Committee is chaired by the Provost or his designate, and composed of four full professors, one elected by each College, and two additional faculty members appointed by the Provost at the rank of associate professor or higher. It evaluates candidates for promotion who have been approved by the various college departments and deans. (See Chapter III, section e below)

1.4.5.7 Award Committee

This is a committee of four senior faculty members, with one member elected by each College. It advises the President on the Distinguished Awards for Teaching, Research, and Advising. The Committee will establish its own procedures for receiving nominations from the colleges.

1.4.5.8 University Hiring Committee

The University Hiring Committee was established to advise the President on issues relating to faculty hiring and retention. Its membership includes:

- Vice Provost for Academic Affairs or President's Representative (Chairman).
- Vice Provost for Research and Graduate Studies or Representative.
- The Dean of Student Affairs.
- Director Accreditation and Quality Assurance.
- At the President discretion, other members may be involved in the UHC deliberations.
- Representatives of the Colleges and other experts will be invited as required.

In order to maintain the Alfaisal competitive edge in the education market, it is necessary to continually review hiring policies to ensure that the university has the best faculty that are available. Therefore, the Committee is charged with the following duties:

- To continually carry out comparisons of Alfaisal University employment and remuneration polices with those existing in other universities both in Saudi Arabia and abroad.
- To review current faculty qualifications and teaching experience in view of the findings of the comparative study.
- To advise the President on policies that, within medium term, might remedy any deficiencies revealed by the study.
- To maintain a recruitment policy that will enhance the quality of faculty at Alfaisal University.
- To review proposed faculty appointments by colleges.

1.4.5.9 Undergraduate Curriculum Committee

The Undergraduate Curriculum Committee is the central curriculum committee of the University responsible for the development of academic policies and the review and approval of programs. The Committee reports its findings to the President and the University Council. Its membership includes:

- Vice Provost for Academic Affairs or President's Representative (Chairman).
- Vice Provost for Research and Graduate Studies or Representative.
- Director of Accreditation and Quality Assurance
- One representative from each College

The Committee is responsible for:

- The development and review of academic policies
- Approval of academic programs
- To review published guidelines for students and faculty members which detail the University's information on programs and courses, degrees offered and graduation requirements, admission requirements and procedures, costs and refund policies, and rules and regulations directly affecting students.

1.4.6 The Colleges

The University is divided into the Colleges of Engineering, Business, Medicine, Science and General Studies, and Pharmacy. Each college is managed by a dean and the heads of the academic departments. Colleges should develop their own policies and procedures governing faculty appointments, promotion, and the like, and these should be compiled into a College Faculty Handbook. However, whereas the college policies and procedures may contain more detailed language, they do not supersede and must not conflict with University policies. College-specific policies and procedures will go into effect only after they have been approved by the President.

- **1.4.6a. The College of Engineering (COE)** offers Bachelor of Engineering, B.Eng., in Industrial Engineering, Electrical Engineering, Mechanical Engineering, Software Engineering and Architectural Engineering. The College offers also a Master of Science, M.Sc., in Engineering & Systems Management.
- **1.4.6b. The College of Business (COB)** offers three programs: The first is a Bachelor of Business Administration (BBA) with five concentrations: Accounting, Finance, Human Resources Management, Marketing, and Operations and Project Management. The second is a Master of Business Administration (MBA) with three tracks: MBA-General, MBA-Finance, and MBA- Healthcare Management. The third is an Executive Education program that is geared toward serving the community with standard programs (like CFA, CPA, CMA, PMP, CAPM, SHRM - CP / SCP, CIPS and MEX) or a customized programs including mini-MBAs.
- **1.4.6c. The College of Science and General Studies (COSGS)** offers a 4-year Bachelor of Science in Life Sciences. This includes coursework in basic sciences (biology, chemistry and physics) and advanced laboratory research projects in areas such as genetics and biotechnology. The College is developing bachelor degree programs in Computer Science and Environmental Science. The College provides core courses in natural sciences, humanities and social sciences for all university students in the Colleges of Business, Engineering and Medicine. In addition, the College is responsible for the administration of the University Preparatory Program (UPP).
- **1.4.6d. The College of Medicine (COM)** offers a Bachelor of Medicine and Surgery (MBBS) degree. The program is a problem-based curriculum comprised of five years followed by an internship year. It is taught in collaboration with King Faisal Hospital and Research Centre and Security Forces Hospital in addition to other private and Ministry of Health Hospitals The College offers a Master’s degree in Bio-Medical Science in Molecular Biology, infection control and Embryological Science. Also Master in Radiological Image Science, Master Degree in Genetic Counselling " and Master degree in Public Health.
- **1.4.6e. The College of Pharmacy (COP)** offers a Doctor of Pharmacy (Pharm.D.) degree. 5 years of didactic/ experiential courses within Pharm.D. Program. This program will offer the graduate with a degree of; Doctor of Pharmacy (Pharm.D.), conditional upon successful performance in all courses, including the final advanced pharmacy practice experience APPE rotations in the final year.
- **1.4.6f. The College of Law & International Relations (COL)** offers a Bachelor of Law (LLB). Students get to study many core subjects including the English foundation subjects. This would include contracts, torts, criminal law, constitutional law, property law, EU law, etc. such an academic approach allows students to take a comparative perspective in all the subject's thought. In the final stage, students would get to choose any of the academic tracks available, which would include Diplomacy & International Relations, International Law, or Government & Public Policy.
- **1.4.6g. University Preparatory Program (UPP)**
  The University Preparatory Program (UPP) is staffed with instructors who are assigned to the program. It is an integral part of Alfaisal University under the administrative arm of the College of Science and General Studies. It is a program for students who have finished high school but do not meet English language requirements and/or do have a strong enough academic record to be directly admitted to Alfaisal University. Its curriculum includes instruction in English, mathematics, science, computer skills and study skills. The UPP works closely with university departments (colleges) in the determination of admissions requirements, expectations for accomplishments in UPP and in recruitment of students.

2. Terms of Faculty Appointments

The Faculty of Alfaisal University is comprised of individuals who perform the vital functions of teaching, research and service. Their titles, employment status, and precise duties vary according to their particular assignments.

2.1 Classification of Faculty and Academic Staff

2.1.1 Regular Professorial Ranks

These are members of the faculty with the ranks of Assistant Professor, Associate Professor or Professor. They must hold a Doctor of Philosophy (PhD) or equivalent terminal degree. Their full-time duties at the University include teaching, research and service.

2.1.2 Research Professorial Ranks

These are members of the faculty with the ranks of Research Assistant Professor, Research Associate Professor or Research Professor. They must hold a Ph.D. or equivalent terminal degree. Their duties at the University are primarily research, with only occasional responsibilities for teaching or student supervision and service. Normally, the members of the Research faculty are compensated through research grants from outside sources, and they are appointed annually, with possibility of renewal depending on the availability of funding.

2.1.3 Clinical Professorial Ranks

These are members of the faculty in the College of Medicine with the ranks of Clinical Assistant Professor, Clinical Associate Professor, or Clinical Professor. They are academically qualified members of the medical staff of another institution, who actively practice their professions together with students for teaching purposes on part-time basis at Alfaisal University.

2.1.4 Practice Professorial Ranks

The College of Business may from time to time appoint Assistant, Associate and Professors of Business Practice. They will be qualified professionals with at least a master's degree who are on limited term appointments and whose full-time responsibility at Alfaisal University involves teaching and professional practice. They normally have one-year renewable contracts.

2.1.5 Adjunct Professorial Ranks

These are members of the Academic Staff with the ranks of Adjunct Assistant Professor, Adjunct Associate Professor, and Adjunct Professor. They are individuals with PhDs. or equivalent terminal degrees whose primary employment is at another institution in affiliation with Alfaisal university, and whose appointment at Alfaisal University, usually for a semester or on an annual basis, is for the purpose of teaching a specific course or playing a limited role in a research project. This title may also be used for individuals whose primary appointment is in another department or college at Alfaisal University.

2.1.6 Visiting Professorial Ranks

These are members of the Academic Staff with the ranks of Visiting Assistant Professor, Visiting Associate Professor, and Visiting Professor. These are full time temporary appointments given to individuals who are on leave from their primary places of employment. Their rank at Alfaisal corresponds to that at their home institution if it is an academic institution, and depends on experience and educational qualifications if they are "visiting" from industry or government. These individuals are typically expected to return to their home institutions at the end of their assignment at Alfaisal University (normally, one year). However, this rank can also be extended to individuals who are on leave from their home institutions, but who are considering becoming part of the regular professorial faculty at Alfaisal University.

2.1.7 Non-Professorial Ranks

These are members of the Academic Staff with the ranks of:

- **2.1.7a. Instructor:**
  These are full or part-time individuals on the instructional staff who hold Masters' degrees and are appointed annually or individuals who have completed all requirements but the dissertation for a PhD and whom the University plans to appoint as Assistant Professors when they complete all requirements for the PhD Appointments are annual until the degree is earned, at which time they will usually be promoted to Assistant Professor.

This also covers individuals in the Program for the Development of Saudi Faculty (section 2.3 below) who return to Alfaisal University following a study leave, but have not yet completed the PhD. Appointments are annual until the degree is earned, at which time they will usually be promoted to the rank of Assistant Professor.

- **2.1.7b. Lecturer, Senior Lecturer**
  These are individuals with a PhD or equivalent terminal degree who are full-time members of the academic staff, but who are not expected to conduct research; their initial appointments may be for either one or two years.

2.1.8 Postdoctoral Research Fellows
These are individuals who have recently completed their PhD or equivalent terminal degrees and who are seeking additional training in the laboratory of an established faculty member. Their full-time duties at the University are primarily research, with only occasional responsibilities for teaching or student supervision. Normally, the postdoctoral staff are compensated through research grants from outside sources. They can be appointed for one to three years with continued employment and renewal based on of the availability of funding.

2.1.9 Graduate Teaching Assistants, Graduate Research Assistants
These are graduate students whose teaching, research, or service is conducted under the supervision of a faculty member. Their appointments are generally part-time and annual in nature.

2.2 Procedures For Initial Appointment of Faculty

Initial appointment to the Regular Professorial Ranks requires a competitive search. Initial appointment to the rank of:

- **Assistant Professor** requires a PhD or equivalent in the field of specialization and demonstrated promise of a high level of creative ability in teaching and research; where appropriate to the discipline, a significant and productive postdoctoral research experience may also be required.
- **Associate Professor** requires, in addition to the above, extensive evidence of successful teaching and research.
- **Professor** requires, in addition to the above, evidence of a high degree of proficiency in teaching and research, significant contributions to the field of specialization, and an excellent national and international reputation as a leading scholar.
- Each college of the University may specify additional criteria for these appointments.

2.2.1 Search and Appointment Procedures
As a general rule, searches will be initiated in the departments. The department head will seek authorization for a search from the dean. After authorization to search has been granted by the dean, the department head will form a search committee who, in turn, will identify and interview candidates. Upon completion of their interviews and selection of one candidate per open position, the search committee will make its recommendation(s) to the department head. The department heads will present their and the committee's assessment of the candidate(s) for approval by the dean. With the dean's approval and within the compensation limits the dean establishes, the department head will negotiate compensation and a start-up package with the candidate. Upon completion of the negotiations, the department head will make the appointment. In the case of searches in departments with three or fewer members of the Regular Professorial faculty, the faculty search committee will be appointed at the level of the college, with the department chair as a member.

Initial appointment to the Research, Clinical, and Practice Professorial ranks will not require a competitive search, although the dean or department head, as appropriate, are encouraged to do so. The department head (or dean) will make the appointment after having received advice from the college committee on faculty appointments and the approval of the dean.

Appointments to the Adjunct, Visiting, and non-professorial ranks are made by the department head with the approval of the dean.

2.3 Types and Lengths of Contracts; Employment Conditions

The initial appointment for a regular professorial rank is usually for up to one (1) year. Performance of faculty will be assessed based on the annual faculty activity reports. Decisions on renewal of contracts, merit based increments and rolling contract privileges will be extended for faculty members based on their annual faculty activity reports. Specific performance indicators are given in Section 3 below. Upon expiration of the initial contract, if there is a mutual agreement on contract terms, the University will renew the appointment for another term up to one (1) year.

Appointments to the Research Professorial, Clinical Professorial, Practice Professorial, Adjunct Professorial, Visiting Professorial, and Non-Professorial ranks are normally on an annual basis, and may be renewed depending on evaluation of performance and University needs.

As a general rule, faculty members are expected to teach 10 to 14 credit hours per semester (in Bi-semester system) and 7-10 credit hours (in the Tri-semester system). Instructors, Lecturers and Senior Lecturers are expected to teach 14 to 18 credit hours per semester (in Bi-semester system) and 12-14 credit hours (in Tri-semester system). The teaching assignments of a faculty member of professorial rank will be reviewed annually by the department head and will be consistent with guidelines for workload set by the University and with overall instructional requirements of the department. Assigned workloads will take into account number of class preparations, funded research activity, curricular or administrative assignments, and other types of service. In such cases of heavy responsibilities, upon the recommendation of the dean (and with the approval of the Provost/ President), teaching loads can be varied. Consideration will be given to providing adequate time for new entry-level faculty to establish their research programs.

2.4 Program for Development of Faculty

2.4.1 Purpose

The Program for the Development of Faculty (PDF) is designed for outstanding Saudi graduates with B.Sc. or Master's degrees and who are motivated to pursue an academic career with Alfaisal University, but who need to gain the necessary academic qualifications (PhD or the appropriate terminal degree) in their discipline/ professional area. This program is designed to conform to the Ministry of Education (MOE) regulations and is subject to budget availability.

Generally, PDF appointments will be made in those areas which the University has identified as high priorities for either instruction or research or both. It is likely that faculty members in these areas will be in high demand and that there will be strong competition for faculty members in these areas. Periodically, the Council of Deans and the Research Council will review the academic fields which the University has identified as priority areas and recommend additions, subtractions or changes to the list, so that the deans can focus appointments to the PDF in those areas.

2.4.2 Admission Requirements

Saudi candidates are selected for the Ministry of Education (MOE) Graduate Scholarships and for appointment to the PDF based on the following conditions:

- Academic record (generally requiring at least a 3.0 GPA on a 4-point scale in a relevant field from a reputable university).
- Motivation to pursue research and teaching as their career.
- Ability to pursue and attain a PhD (or equivalent degree that is) acceptable to Alfaisal University within a reasonable timeframe.

2.4.3 Career Path

2.4.3.1 Post-Baccalaureate

Each individual in the PDF should spend one to two years at Alfaisal University as a Graduate Teaching Assistant to gain exposure to teaching and research in the candidate's anticipated long-term academic field and to provide time to prepare for admission to a top PhD program.

2.4.3.2 Doctoral

This is a period of about three years devoted to doctoral study and attainment of a PhD degree in a top graduate program at a Western University. Short extensions to allow completion of the degree will be possible, subject to dean's approval.

2.4.3.3 Postdoctoral

This appointment will last from one to three years and will involve practical research experience in the laboratory of a distinguished faculty member at a top Western university. Some teaching experience should be part of this appointment.

2.4.3.4 Professorial Faculty

The initial faculty appointment will be at the Assistant Professor level. Other appointment requirements will be as described above. Candidates who have not attained a PhD may be employed at Alfaisal University as Instructors for a limited period of time to be determined by the dean of the college.

2.4.4 Terms of Appointments

- **2.4.4.1 Graduate Teaching Assistant**
  Per annum base salary.
  Medical Benefits applying to full-time faculty.
- **2.4.4.2 Transition to Doctoral Program**
  If PDF appointees gain admission to an appropriate PhD program before the two-year appointment has ended, with the agreement of the department head and dean, they may move immediately to the doctoral phase of their program. In the event that admission to an appropriate PhD program is delayed, the department head, with approval of the dean may agree to an extension of the initial appointment for a further 12 months.Post-Baccalaureate appointees who fail to gain admission to an appropriate PhD program by the end of the third year will be dismissed from the PDF program.
- **2.4.4.3 Doctoral Phase**
  Post-Baccalaureate appointees who are accepted into an appropriate PhD program and who have received satisfactory performance reviews as graduate teaching assistants will be re-appointed subject to agreement with the terms and conditions outlined above as well as the terms for the sponsored doctoral study program.
- Individuals who accept appointments in the doctoral phase of the PDF program will be required to sign a deed of guarantee and indemnity that requires them to work for Alfaisal University for a period of time equal to the time spent in the doctoral program, subject to a minimum of two years and an absolute maximum of five years. Failure to do so will make the appointee and their guarantors sureties liable to pay Alfaisal University a sum of money agreed in the deed of guarantee and indemnity.
- The doctoral phase of the program will normally be for a period of three years. Appointees will be required to submit regular progress reports satisfactory to their department head or to an annual review of progress with satisfactory performance.
- If the PhD degree is not attained within the three years, the department head or dean may support, under exceptional circumstances, an additional year of doctoral work with full pay and sponsorship.
- The University may decide that an individual who has attained a PhD in the doctoral phase is not acceptable as an Assistant Professor at Alfaisal because (a) they are not suitable for a faculty position or (b) the University does not require faculty in the specialty of the candidate. Under such circumstances, the University may agree to an arrangement that does not involve a professorial rank appointment.
- If a candidate does not attain a PhD within the five- to six-year period allotted for this purpose, the department head or dean and the appointee will work on a strategy for meeting the required bond commitments. Although not exclusive, the following examples are provided as general guidelines for

department heads (or deans) and appointees: 1) appointee returns to Alfaisal University as Instructor to serve his required period of bond with pay but without additional sponsorship provisions, with little or no intention of completing the PhD degree; and 2) appointee stays abroad for a period of up to two additional years without pay and without sponsorship from Alfaisal University, to complete PhD degree before returning to Alfaisal.

3. Evaluation of Faculty Performance

3.1 Criteria For Annual Evaluation

Faculty performance evaluations are conducted annually to support and encourage excellence by recognizing and rewarding outstanding academic performance; to provide guidance for faculty members regarding professional improvement and development; and to obtain information relevant to contract renewal, promotion, and termination, awards for teaching, research and advising, and merit pay decisions. (Details of the types of expected activities in these three fields are defined clearly in the Faculty Promotion Regulations and Guidelines, Section 2.2, which is available on the Alfaisal University Website (http://research.alfaisal.edu/faculty_promotion.html). Research expectations of faculty should reflect actual practice, allowing for distinction between disciplines based on international practice.

The general criteria for academic review are:

- Teaching performance evaluation is a critical aspect of the academic review and the promotion decision. Teaching excellence will be assessed by determining the individual's ability to:
  - Lecture and lead discussions.
  - Create a range of learning opportunities.
  - Draw out students and arouse the curiosity of beginners.
  - Stimulate advanced students to engage in creative work.
  - Organize courses logically and systematically.
  - Evaluate critically the materials related to the field of specialization.
  - Assess student performance.
  - Stimulate students to extend learning beyond a particular course.
  - Other function related to teaching as specified by the college.
- The University follow-up policy for academic staff evaluation
  - Faculty members must be evaluated by students each semester and in each course.
  - Based on the student evaluation: The Head of a Department or Dean, as appropriate, should arrange for at least one colleague to attend and evaluate at least one lecture given by any new member of the academic staff and any established member of the faculty whose student evaluation for a course/a semester is below 3.75 on a scale of 5.
    - The purpose of this review is to appraise the delivery of the lectures, organization and the use of lecture room hardware as a means of improving the overall quality of the educational delivery at Alfaisal University. Upon the Head of a Department or Dean's recommendation the review may be extended to evaluate a faculty member's professional development as well as syllabi, course specifications, course reports, exams, and other aspects of instructional design and assessment.
    - The reviewer(s) will prepare a written report to be submitted to the Head of Department or Dean, who will in turn, discuss the report with the lecturer. A record of this review will be kept in the departmental or college files for any future reference.
- Excellence in research and scholarship, as reflected in both the ability and the achievement of the faculty member in contributing significantly to the acquisition and dissemination of knowledge, in obtaining research grants when they are available, and in being innovative or demonstrating powers of independent thought (suitably witnessed by having research published in appropriate esteemed periodicals, books, and creative accomplishments of scholarly work, or otherwise subjected to peer evaluation and deemed to be acceptable; e.g., by learned societies or other professionals, either individually or communally). Alfaisal prides itself in being a research-oriented and student centered university and faculty members are expected to be research active, defined as having at least 2 publications per year in reputable peer-reviewed journals. The criteria for

research and creative achievement vary across disciplines, and they are defined by each college. The faculty of each college and/or department will rank journals according to standards such as international or regional prestige, breadth of readership, peer review, and rejection rate. Candidates should demonstrate continuous engagement in a defined research area that indicates future promise. For verification purposes, copies of all published material included in the candidate's curriculum vitae for the of evaluation should be submitted as part of the promotion file. The candidate may suggest a representative sample of publications to be sent to the external referees. to encourage collaborative work, the senior author may be asked to detail the contribution of the candidate to a particular publication or project. If working as members of a research team, promotion candidates should explain their specific roles on the team.

- University, professional and community service, including contributions to the effective functioning of the university, effectiveness of cooperation with colleagues, links with business, industry private or government entities, and contributions to professional communities and student life and academic environment.

Each faculty member will be asked to complete an Annual Activity Report on a calendar year basis covering these activities which is submitted to the college dean. The faculty member will then meet with the head of his department or research center or dean to review accomplishments and to establish goals and objectives for the upcoming evaluation period. In this process, the faculty member updates his professional performance file, adding information about his teaching, research, and service activities, as appropriate to their particular classification. The dean’s reports on faculty members will then be forwarded to the President.

The faculty member discusses the appropriate weightings of teaching, research, and service for their performance with the department head; these typically reflect the percent of time that the faculty member spends in the different areas. The weights could change from year to year to accommodate the particular needs of the department and the college.

The specific criteria used in the evaluations will vary according to the faculty member’s classification (e.g., Regular Professorial, Research Professorial, etc.) and can vary among the colleges. The criteria for each unit are developed by the faculty and dean of the college and are approved by the Provost/President.

3.2 Merit Salary Increments

A merit pay increase between 2 and 10% of base pay (contingent upon budgetary circumstances), awarded as an addition to base salary, can be granted to faculty members considering the following criteria:

1. The faculty member has published or has acceptance notices for four papers in refereed international journals which have an internationally recognized impact factor over the last 12 months (up to one refereed international conference paper can be substituted for one journal paper); or
2. The head of department or dean’s recommendation for an award for outstanding teaching on the basis of peer review and student evaluation; or
3. Other exceptional contributions and/or honors (significant external research grants, patents, a prize for merit, etc.) on the recommendation of the head of department or college dean;
4. The faculty member is recommended for a merit pay award by the college dean with the concurrence of the Provost/President.

Recommendations of the department heads or deans for merit increments are then forwarded to the Provost’s Faculty Development and Recruitment Committee which, following the guidelines promulgated annually by the Provost/President, the approvals by the deans, the availability of budget, and permissible ranges of increases established annually by the University, will recommend to the Provost/President the merit awards to be granted.

3.3 Eligibility For Promotion

The eligibility period for a faculty member seeking promotion shall be a minimum of four years in university rank (or equivalent position) with one year of consecutive service at Alfaisal University. The following minimum qualifications are required for all professorial ranks of Alfaisal faculty. For research, the minimum qualifications are determined on the basis of a specific number of “units” in accordance with the ‘unified bylaws for faculty’ that

were adopted by the Higher Education Council. A scholarly work is to be counted as “1 unit” if it is single authored; “1/2 unit” if it has two authors. If the research was carried out by more than two individuals, it will be regarded as “1/2 unit” for the principal author and “1/4 unit” for each of the others. If another collective work is considered for promotion, then it will count as “1/4 unit” for each researcher.

3.3.1 Degree Requirements

An earned Ph.D. degree, or equivalent, in the subject area from an institution whose graduate programs correspond to those of accredited reputable universities, is required for all professorial ranks. However, in certain fields of study and in special cases, exceptions can be made (refer to article 12 of the “Unified Regulatory Charter for Saudi Faculty and their Equivalence”). Ph.D. degrees obtained by correspondence, during breaks/ vacation periods, and through continuing education courses are not accepted as equivalent to an earned Ph.D. degree.

3.3.2 Assistant Professor

Candidates for this rank must show promise of successful research performance. Publications resulting from their Ph.D. dissertations may be accepted as evidence of such promise. In addition, it is desirable that they have some teaching experience at university level.

3.3.3 Associate Professor

Four or more years of successful teaching and research at a recognized University, preferably in a tenure-track position, after attaining the requisite degree, are required, with a minimum of one year appointment at assistant professor rank at Alfaisal University having been served prior to application for promotion. An Associate Professor should demonstrate mature and independent scholarship. Research and other scholarly activities should indicate creativity, significance and effectiveness.

The candidate for promotion must satisfy the following minimum requirements in Research and Scientific Contributions:

Four published and/or accepted-for-publication units; two of these units may be either single authored or four first authored in multi-author papers which are indexed in Thomson Reuters (TR), ISI, Scopus, Cabell’s or similar databases. Therefore, a faculty member can apply for promotion without individual (singly-authored) works, provided that the applicant has four first-author ISI-indexed publications for promotion to associate professor. In determining the minimum number of units, the following categories and rules should be considered

1. Papers in internationally recognized refereed journals; a minimum of one unit is required.
2. Papers in refereed proceedings in international conferences and specialized symposia; a maximum of one unit is accepted.
3. Refereed, published, or accepted for publication technical reports from specialized university research centres; a maximum of one unit is accepted.
4. Refereed textbooks and reference books; a maximum of one unit is accepted.
5. Refereed authentication reviews of rare books; a maximum of one unit is accepted.
6. Refereed translations of specialized scientific books; a maximum of one unit is accepted.
7. Refereed books and research reports published by scientific societies/authorities approved by the Scientific Council; a maximum of one unit is accepted.
8. Inventions and novelties that have patents from recognized patent agencies approved by the Scientific Council.
9. Distinguished creative activities according to a basis recommended by the Scientific Council and approved by the University Board; a maximum of one unit is accepted.

In determining the minimum number of units, it must be ascertained that Research and Scientific Contributions were published or accepted-for-publications while the candidate was at the rank of Assistant Professor. Furthermore, it must be ascertained that material submitted for consideration for promotion must have been published or accepted-for-publication in more than one publication channel (i.e. different journal publishers and different university and scientific establishments).

3.3.4 Professor

Eight or more years of successful teaching and research work at a recognized University, preferably in a tenure-track position, after attaining the requisite degree are required. Candidates applying for promotion to this rank must have at least four years of service in the Associate Professor rank. In promotion to this rank, contributions in teaching and service are important. However, the main emphasis is on research and scholarly achievements. Thus all candidates to this rank must demonstrate that their research achievements have had a recognized impact on the advancement of knowledge in their subject area.

The minimum research work required to be submitted for promotion to the rank of Professor should include six research units published or accepted for publication, at least three of which should be singly authored. It is allowed for the promotion applicant to replace the individual (singly authored) work with two first author works published or accepted for publication in ISI-indexed medium. Therefore, a faculty member can apply for promotion without individual (singly-authored) works, provided that the applicant has four first-author ISI-indexed publications for promotion to associate professor, and six first-author ISI-indexed publications for promotion to professor (ref Article 33 in KSU Regulations Governing the Promotion of Faculty Members 2010-2011).

A completed faculty promotion portfolio will consist of the following:

Item	Section
Letters (reverse chronological order) • University Prom Com. Recommendation Letter • College Dean Recommendation Letter • College Peer Review Committee Letter • Request for Promotion Review	**1**
Promotion Application Summary • Declaration • Calculation of Publication Units • Application Form for Promotion of Faculty Members at KSU	2
Curriculum Vitae	3
Supporting Documents of Previous Appointments	4
Research & Publications • Journal articles • List of research grants	5
Teaching • Courses taught & curriculum development • Faculty development activities • Student & Peer Evaluations	6
University & Community Service	**7**

3.3.5 Steps in chronological order for promotion to professorial ranks

Stage	Action
Anytime during the academic year	• Candidates after checking that they meet the minimum requirements, submit the Promotion Review Portfolio to the College Dean.
College Level Review	• The College Dean shall make the Portfolio available for review by members of the College Faculty Peer Review Committee. The Portfolio is retained/secured by the College (Exec Assist). • The College Faculty Peer Review Committee shall convene and complete its review of the applicant's portfolio.

Stage	Action
	• The committee's written recommendation on each candidate shall be submitted to college dean *by date stipulated by dean*. That date shall be a date allowing sufficient time for dean's subsequent review & written recommendation on each candidate. The committee's recommendation is placed in the candidate's portfolio. *Copy provided to candidate.* • College Peer Review Committee prepares list of 10 potential expert reviewers with contact information *(External Reviewers letters will be requested by Saudi Government University based on list)* • The written recommendation of the College Dean concludes the process of review at the college level.
University-wide Level of Review Committee	• The College Dean's written recommendation is due to the Office of the Provost/President. *Copy provided to candidate.* • The candidate's Promotion Review Portfolio is transferred from the Office of the Dean to the Provost's Office. • The Provost/President makes the promotion file available to the University-wide Faculty Promotion Review Committee for review.
Provost Level Review	• The University-wide Faculty Promotion Review Committee's written recommendation due to Provost; *copy provided to candidate.* • Provost begins review of the candidate's portfolio
Saudi Government University Evaluation	• Copy of dossier is sent by the Provost to a Saudi government university for evaluation. • Written recommendation from Saudi Government University is due to Provost. *Copy provided to candidate*.
President's Review & Decision	• The written recommendation of the Provost is due to President. *Copy provided to candidate.* • The President's decision transmitted in memorandum to candidate. This is the final level of review for all Promotion candidates.

Full details of promotion requirements and procedures can be found in Faculty Promotion Regulations and Guidelines, Second Edition (revised December 2011), which is available on the Alfaisal portal http://research.alfaisal.edu/faculty_promotion.html.

4. Employment and Grievance Issues

4.1 Retirement

In accordance with the labor laws of the Kingdom of Saudi Arabia, the normal retirement age at Alfaisal University is 60. However, if there is a significant need for his/her services, the President can extend a faculty member's service until age 65. Saudi nationals on the faculty may apply for early retirement after 20 years of service at the University. Retirement benefits for Saudi faculty members are governed by the Saudi Labour law.

4.2 Termination Prior to End of Contract

The University may terminate the appointment of a member of the faculty for cause without notice or payment in lieu thereof:

- If the faculty member is guilty of dishonesty, gross personal or professional misconduct, or wilful neglect of duty;
- If the faculty member shows disrespect for the local culture;
- If the faculty member is convicted of a criminal offense;
- If- after adequate warning notice has been issued – the faculty member fails to attend diligently to his duties as determined by the department head;
- If the faculty member is absent without authorization for more than one week immediately following a home leave;
- If a faculty member starts his/her contract in the middle of a semester and resigns before completing all academic requirements pertaining to courses in his/her primary contract or in the middle of a semester, the university is not obliged to pay salaries and benefits for the remaining portion of the contractual year but just for the semester he/she completes. The university is also not obliged to pay for complete repatriation costs and salary payments during the summer months. The university will in this circumstance only pay a one way ticket to home country to the faculty member and official dependents as per university policies and procedures.

- For any continued material breach of the terms of appointment.

4.3 Grievances

I. **Definitions and Coverage**
   A. **Grievance:**
   A grievance is a complaint in writing made to an administrative officer of the University concerning a decision, made by a person or group of persons acting in an official University capacity that directly or adversely affects the grievant as an individual in his or her professional academic capacity. A grievance does not include dissatisfaction with a University policy of general application challenged on the ground that the policy is unfair or inadvisable.
   B. **Coverage:**
   A grievance may be filed and any member of the Faculty or Academic Staff-Teaching or Academic Staff-Research at Alfaisal University hereunder may utilize the appeal procedure.
   C. **Absence of President:**
   In the absence of a duly appointed President at Alfaisal University, the Chairman of the Faculty Development Committee of the Board of Trustees of the University shall act in the capacity of the President under these Grievance Procedures.

II. **Grievance Structure**
   A. The Grievance Structure consists of an Administrative Structure.
   B. The Administrative Structure includes, in order and as applicable, the following administrative officers of the University: head of administrative unit; department chair; dean of school; Provost and President.
   C. The President shall devise a set of standing rules of procedure which will govern proceedings for the filing and appeal of grievances in the Administrative Structure, provided that:
      1. The set of standing rules of procedure, and any amendments thereof, shall be valid upon promulgation;
      2. The rules shall provide that any communication or material solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that such communication or material may be revealed to any person(s) consulted by the administrative officer for guidance on that grievance.

III. **Grievance Procedures**
   A. FILING of GRIEVANCE
      1. A grievance arising out of a decision at the administrative unit or department level shall be filed with the dean of the school.
      2. A grievance arising out of a decision at the dean's level shall be filed with the Provost.
      3. A grievance arising out of a decision at the Provost's level shall be filed with the President.
      4. A grievance arising out of a decision at the President's level shall be filed with the President. The President shall make a determination on the grievance, and such determination shall be final. The decision of the President, with the reasons therefor, shall be given to the grievant in writing.
   B. The grievant shall file his or her complaint in writing, setting forth a statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged. The written grievance shall also include the grievant’s statement that he or she has made informal efforts to resolve the dispute at each administrative level (including, as applicable, with his or her principal investigator and with the department chair) below the level at which the grievance is filed, and shall describe those efforts in detail.
   C. The administrative officer with whom the grievance is filed shall consider the grievance. The administrative officer may attempt to resolve the matter informally or make whatever disposition of the grievance he or she deems appropriate. The administrative officer may refer the grievance, or any issue therein, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs. The administrative officer may also, in appropriate cases, remand the grievance to a lower administrative level (including to the original decision maker) for further consideration. The administrative officer shall notify the grievant in writing of the disposition made of the grievance.

IV. **Appeal Procedure**

A. A grievant who is dissatisfied with the disposition of the grievance by the administrative officer with whom the grievance was filed may appeal the decision in order to each of the higher administrative officers within the Administrative Structure as follows:
   1. For a grievance filed with and decided by the dean, a grievant may appeal the decision in writing to the Provost. The Provost will follow the procedure for appeals set forth in Sections lV (D) and (E) and V below.
   2. For a grievance (or an appeal) filed with and decided by the Provost, a grievant may appeal the decision in writing to the President. The President will follow the procedure for appeals set forth in Sections lV (D) and (E) and V below.
   3. No appeal shall be available for a grievance (or an appeal) filed with the President. (See Section lll(A)(4) above.)

B. The determination by any administrative officer of any grievance appealed to him or her shall be appealable by the grievant to the next higher administrative officer within the Administrative Structure, except that the determination of the President shall be final.

C. An appeal shall be made in writing and shall contain the following information:
   1. A statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged;
   2. The names and positions of all administrative officers with whom the grievance has been filed or appealed and a copy of the determination made by each of those administrative officers.

D. Each administrative officer within the Administrative Structure who considers a grievance appealed to him or her shall make a determination on the matter and shall inform the grievant in writing of the determination.

E. The administrative officer may attempt to resolve the matter informally, or refer the appeal, or any issue thereof, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs. The administrative officer may also, in appropriate cases, remand the matter to a lower administrative level (including to the original decision maker) for further consideration.

F. In considering a grievance that arises out of a negative decision on appointment, reappointment, or promotion, an administrative officer may consult with the same body, if any, that makes recommendations on decisions involving appointment, reappointment, or promotion.

V. **Standards For Review and Procedural Matters**

A. The review of a grievance or of an appeal by the dean, the Provost or the President shall usually be limited to the following considerations:
   1. Were the proper facts and criteria brought to bear on the decision? Were improper or extraneous facts or criteria brought to bear that substantially affected the decision to the detriment of the grievant?
   2. Were there any procedural irregularities that substantially affected the outcome of the matter to the detriment of the grievant?
   3. Given proper facts, criteria, and procedures, was the decision one that a person in the position of the decision maker might reasonably have made?

B. Standing rules of procedure for the handling of grievances under the Statement on Academic Staff Grievance Procedures, which include time limitations for the filing of grievances and appeals, as well as other procedural matters will be made available online. Note that a delay in filing a grievance may, taking all circumstances into account, constitute grounds for rejection of the grievance by the administrative officer with whom it is filed. Similarly, appeals should be filed without delay.

C. Questions concerning the filing and appeal of grievances should be directed to the Office of the Provost or to the Director of Human Resources.

Standing Rules of Procedure:

These Standing Rules of Procedure for grievances (the "Rules”) are hereby implemented under clauses 1.8. and 1. C. of the Alfaisal University Grievance Procedure (the Grievance Procedure"). They shall apply to the filing and appeal of all grievances by any member of the Faculty or Academic Staff-Teaching or Academic Staff-Research at Alfaisal University.

These procedures are intended to only be invoked only when persistent efforts at informal resolution of significant differences have failed; thereafter, further informal resolution efforts may be undertaken at any stage of the process. The time frames set forth in these rules are guidelines. They may be extended by the relevant administrative officer in his or her discretion for good cause.

I. Filing of Grievance
    A. The grievant shall file his or her grievance in writing, setting forth a statement of the decision that constitutes the subject matter of the grievance, all grounds on which it is being challenged, and all reasons why the grievant believes that the decision was improperly taken. The grievance shall specifically address the matters set forth in the Standards for Review in Section V of the Grievance Procedure. The written grievance shall include allegations of any and all adverse effects on the grievant, known to the grievant at the time of filing, which arise from the decision being challenged.
    B. The written grievance shall also include the grievant's statement that he or she has made informal efforts to resolve the dispute at each administrative level (including, as applicable, with his or her principal investigator and with the department chair) below the level at which the grievance is filed, and shall describe those efforts in detail. That description shall include the grievant's statement that he or she notified in writing the original decision maker of the grievant's intention to file a grievance, and gave that decision maker 10 days to reconsider the decision.
    C. The grievance shall be filed at the earliest practicable date after the grievant receives notice of the decision that is the subject matter of the grievance and after reasonable efforts have been made at informal resolution. Such filing shall normally be made within 90 days after the grievant receives such notice. A delay in filing a grievance may, taking all circumstances into account, constitute grounds for rejection of the grievance by the administrative officer with whom it is filed.

II. Response to Grievance
    A. The administrative officer with whom the grievance is filed shall consider the grievance. The administrative officer may attempt further to resolve the matter informally or make whatever disposition of the grievance he or she deems appropriate. The administrative officer may refer the grievance, or any issue therein, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs.
    B. The administrative officer shall inform the grievant in writing of any referral of the matter and shall specify the matters referred, the directions to the person or persons to whom the referral is made (including the time frame within which the person or persons is/are to report back to the administrative officer), and the names of those persons.
    C. Should attempts to resolve the matter informally not be successful, the administrative officer with whom the grievance is filed shall decide the grievance, and shall notify the grievant in writing of the disposition made of the grievance and all grounds for the disposition at the earliest practicable date after the officer's receipt of the grievance.
    D. Normally no more than 60 days should elapse between the filing of a grievance and the disposition by the administrative officer. Unreasonable delay in processing a grievance can in itself be grounds for a grievance. If, because of absence of key persons from the campus or other circumstances or exigencies, the officer decides that prompt disposition is not possible, he or she shall inform the grievant of that fact in writing, giving the grounds therefor and an estimate of when a disposition can be expected.

III. Filing of Appeal
    A. An appeal shall be made in writing and shall contain the following:

1. 1. A copy of the original grievance, any other documents submitted by the grievant in connection therewith, and copies of any previous appeals and supporting documents.
2. 2. The names and positions of all administrative officers with whom the grievance was filed or appealed and a copy of the determination made by each of those administrative officers.
3. 3. A statement of why the reasons for the determination or determinations of the administrative officer(s) who previously heard the matter are not satisfactory to the grievant. This statement should specifically address the matters set forth in the Standards for Review in Section V of the Statement.

B. The grievant shall file his or her appeal at the earliest practicable date after the grievant's receipt of the determination by the administrative officer with whom the grievance has been filed or appealed. Normally no more than 30 days should elapse between the transmittal of the administrative officer's decision on the grievance and the filing of the appeal. A delay in filing an appeal may, taking all circumstances into account, constitute grounds for rejection of the appeal by the administrative officer with whom it is filed.

IV. Response to Appeal
   A. The administrative officer may attempt to resolve the matter informally, or refer the appeal, or any issue thereof, to any person(s) who shall consider the matter and report to the administrative officer as the latter directs.
   B. The administrative officer shall inform the grievant in writing of any referral of the matter and shall specify the matters referred, the directions to the person or persons to whom the referral is made (including the time frame within which the person or persons is/are to report back to the administrative officer), and the names of those persons.
   C. The administrative officer to whom the grievance is appealed shall decide the appeal, and shall notify the grievant in writing of the disposition made of the grievance and all grounds for the disposition at the earliest practicable date after the officer's receipt of the appeal.
   D. Normally no more than 60 days should elapse between the filing of the appeal and the disposition by the administrative officer. Unreasonable delay in processing a grievance can in itself be grounds for a grievance. If because of absence of key persons from the campus or other circumstances or exigencies, the officer judges that prompt disposition is not possible, he or she shall inform the grievant of that fact in writing, giving the grounds therefor and an estimate of when a disposition can be expected.

V. Grievant's Right to Advisor
   The grievant shall have a right to be accompanied by a member of the professoriate or the academic staff at Alfaisal University as his or her advisor in any conference or discussion with the administrative officer hearing the grievance or the appeal, or at any appearance before any person(s) to whom the matter or any issue therein has been referred by the administrative officer. As a general proposition, the role of the advisor is to advise the grievant, not to address the administrative officer or the person(s) to whom the grievance or appeal has been referred.

VI. Confidentiality
   Any communication or material solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that such communication or material may be revealed to any person(s) consulted by the administrative officer for guidance on that grievance.

5. Faculty Rights and Responsibilities

5.1 Academic Freedom

Alfaisal University is committed to principles of academic freedom with respect to teaching and intellectual inquiry, the ethical and reasoned conduct of research, publication of findings, and expressions of ideas and beliefs. Alfaisal University recognizes, however, that it operates within the context of the culture, norms, and laws of the Kingdom of Saudi Arabia. There are, therefore, some legal and social restrictions of which the members of the faculty should

be aware of and which they should observe. Public (including classroom) discussion of sensitive political or religious issues, preaching, and group worship (other than Islam) are prohibited. A detailed orientation presentation and discussion of such restrictions will be provided during new faculty orientation. Furthermore, the use and/or importation of mind-altering drugs, potable alcohol, and/or pornographic material are criminal offenses with very serious penalties in the courts.

5.2 Responsibilities: Teaching, Research, and Service

Teaching and research are the primary activities of the faculty of Alfaisal University and should receive the largest commitment of effort and energy. A faculty member is obligated to have a significant presence on campus, to meet classes, to conduct research, to keep office hours, to hold examinations as scheduled, to be accessible to students and staff, to be available to interact with University colleagues, and to share service responsibilities.

Faculty members are also expected to participate in University activities and to use their professional expertise to contribute to their professions and to the community. University activities and outside professional activities can be positive contributors to fulfilling one's University obligations. The University sees great value in activities outside the University that advance and communicate knowledge through interaction with industry, the community, and the public, and through consulting and professional opportunities.

The basic principle is that faculty members shall not allow outside employment to interfere with their primary university duties. It is a generally acceptable concept that outside professional activities may be a valuable contribution so long as the activities are undertaken in a manner consistent with the full performance of the faculty member's primary university obligations. Experience indicates that this is difficult if the full-time faculty member spends more than the equivalent of one day a week on outside activities.

5.3 Standards of Ethical Performance in Teaching and Research

For faculty members, the notion of academic freedom is linked to the equally demanding concept of academic ethics and responsibility. As a faculty member, a person assumes certain ethical obligations and responsibilities to students, to fellow faculty members, to the institution, to the profession, and to society at large. Some of these are listed below.

5.3.1 Responsibilities to Students:

- Faculty members shall foster scholarly values in students, including academic honesty, the free pursuit of learning, and the exercise of academic freedom.
- Faculty members shall act professionally in their academic relationships with students. They shall acknowledge and respect the confidential nature of the relationship between professor and student. They shall not engage in exploitation, harassment, or discriminatory treatment of students, and they must assure that evaluations of students reflect true merit.
- Faculty members are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce inappropriate matter or matter that has no relation to their subject.
- Faculty members shall be available at reasonable intervals to students for consultation on course work through posted office hours.
- For each course taught by a faculty member, an outline/syllabus will be provided to students, including detailed guidance on how assessment will be carried out. As this forms a 'course contract' between the faculty member and the students, after distribution it can only be amended with the approval of both parties.
- It is essential that instructors check to ensure that all students attending a course are actually listed on the official roster and if not, the student should be directed to the Student Affairs office for registration.
- Faculty should note that the minimum length of courses that the Saudi Arabian Ministry of Education (MOE) is willing to recognize is 7 weeks. The time specification is regardless of the number of contact hours included in the course (that is, a 42 hour contact course over less than 7 weeks is not permitted under these regulations).

- Faculty members shall duly acknowledge the contribution of students to their scholarship and research. This may be done, for example, in the form of co-authorship on scientific papers or having the students mentioned in the acknowledgement section of a manuscript.
- Counselling of students on non-academic issues should be professional, confidential and within the capabilities of the professor. Students with serious and sensitive issues, especially if they are related to a specific culture, religion or custom, should be referred to professional counsellors in the Division of Student Affairs.

5.3.2 Responsibilities to other members of the University community:

- Faculty members shall not exploit, harass, or discriminate against any member of the university community.
- Faculty members shall acknowledge the academic and scholarly contributions of others, and strive to be objective in their professional judgment of colleagues. Permissions for use must be obtained from the relevant persons or individuals when appropriate to the norms of the discipline. Digital and archival material must be used in accordance with the rules of the source. This may be done, for example, in the form of co-authorship on scientific papers or having the other faculty members mentioned in the acknowledgement section of a manuscript.
- Faculty members who are in a supervisory position shall abide by the human resources rules and policies of the University.

5.3.3 Responsibilities to the University as an institution:

- In determining the amount (if any) and character of work done outside of the institution, faculty members shall recognize that their primary responsibilities are to the institution. Such outside work shall be consistent with University regulations. Faculty members may follow subsidiary interests, but these must be revealed to the institution and must never compromise their freedom and willingness to draw intellectually honest conclusions.
- A faculty member must obtain formal approval (e.g. MOU or Letter of Agreement) from the university before proceeding with any major collaborative research with a laboratory or research group at another institution.
- When considering the interruption or termination of their service, faculty members shall take into account the effect of their decision upon the institution and give notice of their intentions as per their contract.
- Faculty members shall accept their share of faculty responsibilities for contributing to the governance of the institution.

5.3.4 Responsibilities to the Profession:

- **5.3.4a. The fundamental responsibilities of a faculty member as a teacher and scholar include:**
  - Maintenance of competence in one's field of specialization, including appearances in the public arena such as discussions, lectures, consulting, publications and/or participation in professional organizations and meetings
  - Exhibition of professional competence in the classroom, library or laboratory
  - Fostering honest academic conduct as specified in the university regulations.
- ***5.3.4b.*** Faculty members should exhibit professional integrity. They also should recognize that society at large will judge the profession and the institution, as well as the individual on the basis of his statements and behaviour. Therefore, the faculty member should strive to be accurate, to exercise appropriate restraint, and to be willing to listen to and show respect to members of the society at large expressing different opinions. Faculty should make every effort to indicate that they are not speaking or acting for the University when speaking or acting as a private person.
- **5.3.4c.** Scholarly conduct must avoid fabrications, falsifications, plagiarism and other practices that deviate from accepted standards of scholarly work. Faculty must apply scholarly rigor and integrity in obtaining, recording and analysing data as well as in reporting and publishing results. A detailed description on

procedures for investigating research misconduct can be found in section 6.8 Research Misconduct as well as in the Research Policies & Procedures available of the Alfaisal web site (http://research.alfaisal.edu/policies_procedures.html).

- **5.3.4d.** Faculty undertaking research should do so in a manner consistent with professional honesty and within the public interest. Research should be designed to enhance knowledge in a particular field of scholarship and should demonstrate sound methodology, accuracy and factual integrity of the data.
- **5.3.4e.** According to the Saudi Law of Ethics of Research on Living Creatures, Alfaisal University is responsible for any research conducted therein and shall, through a local ethics committee (IRB), ensure that the researcher and research staff comply with controls, procedures and provisions set forth in the Law and its Regulations as well as decisions of the National Committee of BioEthics (NCBE).

  Hence, in compliance with this Law, Alfaisal University has established and registered a local ethics committee, or an Institutional Review Board (IRB), that grants licensing for conducting research and monitoring research ethics in accordance with provisions of the Law of Ethics of Research on Living Creatures and its Regulations. The mandate of Alfaisal IRB is to license or grant ethical approvals to all research projects involving living creatures (i.e. humans, animals, or plants), conducted at Alfaisal including surveys, questionnaires and interviews. The provisions of the Ethics Law and its Regulations are subject to Sharia provisions and principles of human rights, without prejudice of provisions of Sharia.

  Therefore, each research proposal involving living creatures (humans, animals, and plants) to be conducted at Alfaisal University shall be subject to the approval of the IRB. Investigators may publish the results of their research, provided that they notified and obtained approval of the IRB beforehand. The IRB may refuse to grant permission if the published material is inconsistent with the provisions of the Law of Ethics on Living Creatures and its Regulations or with the directives issued by the NCBE.

  The following is a list of documents that researchers must submit to the IRB office at irb@alfaisal.edu to be considered for an IRB review:

  - A formal study proposal approved by the Chair of the College Research Committee, including the data collection instrument(s), e.g., survey.
  - Up-to-date CVs of the principal and other investigators included in the study proposal.
  - A signed “Conflict of Interest Declaration” – the form will be provided by the IRB office.
    [For more information please contact the IRB office at irb@afaisal.edu]
- **5.3.4f.** Faculty must use funds designated for research purposes in the prescribed manner.
- **5.3.4g.** Faculty must comply with relevant statutes or regulations for the protection and welfare of researchers, human subjects, the public, laboratory animals and the environment.

  University has established and registered a local ethics committee, or as alternatively called, an Institutional Review Board (IRB). The mandate of Alfaisal IRB is to license or grant ethical approvals to all research projects involving living creatures (i.e. humans, animals, or plants), conducted at Alfaisal including surveys, questionnaires and interviews. Research at Alfaisal will be subjected to periodic inspection by the National Committee of BioEthics (NCBE). Conducting research on living creatures outside the premise and scope of supervision of licensed establishment shall be deemed a violation of the provisions of the Law and its Regulations.

  Faculty may publish the results of their research, provided that they notified and obtained approval of the IRB beforehand. The IRB may refuse to grant permission if the published material is inconsistent with the provisions of the Law of Ethics on Living Creatures and its Regulations or with the directives issued by the NCBE.

  IRB approval is not required for academic data, e.g., grades, course work, surveys, and interviews, used by faculty to provide feedback to students, to improve a course or a program, or report findings as part of the accreditation process. IRB approval is required only when there are plans to conduct and disseminate, e.g., publish, or present findings at a conference, results of research on living creatures.

- **5.3.4h.** Faculty members doing research, teaching, conducting laboratory exercises or engaged in other related activities must protect the privacy of others, avoid causing mental or physical harm and promote safe and healthy working practices and environments.

6. Research

6.1 General Principles

This section outlines the policies and procedures governing research sponsored and conducted in collaboration with Alfaisal University. It sets forth definitions, policies, and procedures for approval, processing, budgeting, and accounting for research funded from internal and external sources as well as ethical practices.

Eminence in research is crucial to achieving the University's goals of becoming a leading educational institution and a model in the region. It is also a critical component to the University's mission of conducting world class research that benefits the Kingdom of Saudi Arabia, the region and the world. Collaboration between Alfaisal University and individuals, companies, and other universities in the local environment is fundamental to conducting research which can be applied to benefit and develop society.

Statements defined below are to be applied in interpretation of these regulations:
***Scientific Research*:** Search for knowledge that is built on a scientific basis, and accomplished as a result of individual or joint effort.
***Principal Investigator*:** a faculty member or equivalent, who represents the research group or is assigned the mission of supervision and management of the whole group.
***Co-Investigator*:** a faculty member or equivalent, who participates with a group of researchers on a project.
***Reviewer*:** a faculty member or equivalent, who is an expert in the field and who is assigned to review a scientific project.
***Adviser*:** a faculty member or equivalent who is an expert in the field and who provides service or advice.

6.2 Areas of Research Priority

The University provides support for research in areas of science, engineering, medicine, and business with the aim of promoting productive investigation and creative scholarship. This support includes release time from teaching, additional salary if research is carried out in summer holidays, per diem support to attend internationally recognized conferences to present papers, purchase of equipment and all expendable items, and reimbursement of costs related to telephone/fax charges.

The following are the priority areas of research for Alfaisal University:

- Science & Technology
  - Water
  - Energy
  - Oil & Petrochemicals
  - Information Technology
  - Environment & Natural Resources
- Health, Biomedicine & Pharmaceuticals
  - Diseases
  - Surgery
  - Gerontology
  - Genetics
  - Biotechnology & Biomaterials
  - Comparative Effectiveness
  - Translational Research
- Business
  - Diversification of Economic Base
  - Domestic & Foreign Investment

- Economic, Social, Environmental & Cultural Impact of Globalization
- Balanced Regional Development

6.3 Offices, Councils and Committees that Support Research

6.3.1 Office of Research & Graduate Studies

The Office of Research & Graduate Studies (ORG) is responsible for assuring adherence to the University's and sponsor's policies and procedures, and for following ethical standards in conducting research. It provides direction and guidance in the development, identification, and securing of funding sources as well as proposal development, submission, administering and closure of awards. The Office will convey quality services related to development of research projects, compliance in the conduct of research, intellectual property, technology transfer, and governance issues related to sponsored programs. Services will be provided to University faculty and staff through administrative support for research projects. In addition, the Office will provide an important interface with public and private members of the external community that have a vested interest in research. It is responsible for management and promotion of research activities that are carried out by the academic departments through external or internal funding.

6.3.2 Research & Graduate Studies Council

The Research & Graduate Studies Council (RGC), which is chaired by the Vice President for Research & Graduate Studies, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Graduate Studies is the administrative arm of the Council and is empowered on its behalf to enforce its regulations and policies. The Council membership consists of two faculty members from each of the different colleges and disciplines within the institution.

6.3.3 College Research Committees

Each College has a Research Committee consisting of faculty members that is responsible for reviewing applications for internal research funding and making recommendations to the Research & Graduate Studies Council.

6.4 Funding Research

The Office of Research & Graduate Studies (ORG) is responsible for the coordination, supervision, and securing of funds for research in the University and with collabora tive partners in the local and global environment with the purpose of supporting the University's strategic plan. Alfaisal University provides support services for research in the form of laboratory space, funding, compensation, computing facilities, and reduced teaching load.

The University seeks to maintain and upgrade research space and to institute new facilities for on-campus research so as to provide a vibrant academic environment conducive to research. The ORG also seeks to provide research laboratory space outside the university through collaboration with KFSHRC, KACST, Saudi Aramco, and KAUST. A faculty member may informally approach a funding agency about whether a specific project might be fundable without going through the Office of Research & Graduate Studies. However, no official solicitation pertaining to financial and space commitments for external support for research may be made in the name of the University without prior approval from the Office of Research & Graduate Studies.

There are several ways to fund research projects either through the University's internal budget or through externally funded programs or projects such as Research Grants, Chairs and Centers. This section gives a brief description of each.

6.4.1 External Research

The primary source of funded research comes from grants received from a sponsoring agency through submission and acceptance of research proposals. Several types of research grants are available, all of which are distributed on the basis of the merits of the submitted proposals (for details pls refer to http://research.alfaisal.edu/

index.html). All proposals for funded research must be routed through the Office of Research & Graduate Studies (ORG) to assure compliance with University and funding agency regulations, and to assess University commitments of funds and space.

KACST funding, for example, is available in two categories: KACST internal and KACST external funding. KACST internal grants are institution based. With this type of funding the Project Manager must be from KACST while the Principal Investigator may be from an outside institution. Most of the research is normally conducted at their facilities. This funding source is available for Alfaisal Faculty if they are collaborating with staff at KACST. Alfaisal encourages its faculty to participate.

The second category, KACST external grants, is highly competitive and is open to all universities in the Kingdom. This comes in two forms; the General Directorate for Research Grants (GDRG) Program which is open to all disciplines and has several deadlines during the year depending on the research area and discipline (for details pls refer to http://research.alfaisal.edu/index.html)) and the National Plan for Science & Technology (NPST) now called Maarifa2 with its 11 Strategic Research Priority Areas:

- Water
- Oil & Gas
- Petrochemicals
- Nanotechnology
- Biotechnology
- Information Technology
- Electronics, Communication, & Photonics
- Space and Aeronautics
- Energy
- Environment,
- Advanced Materials

For GDRG grants Alfaisal faculty can be the Principal Investigator (PI). Since Alfaisal is a private university, faculty members cannot be a Principal Investigator (PI) directly on the Maarifa2 applications. This problem can be circumvented by for example having faculty members holding cross-appointments in government institutions and sending the application through that institution. This has been done for instance by Alfaisal College of Medicine faculty members applying through the KFHSRC system. Another option is to have the PI from a government institution such as KACST or KSU with the Alfaisal faculty member as Co-investigator. Note the latter person is the one actually writing and submitting the proposal.

Funding is also available from for example Saudi Aramco which holds RFP from universities every other year, Al Anoud foundation, and Boeing.

6.4.2 Internal Research

Research is funded internally using small competitive one year Internal Research Grants (IRG) (up to 50,000 SAR per grant) and larger highly competitive two years Strategic Research Grants (SRG) (up to 500,000 SAR per grant). All proposals are initially reviewed by the respective College Research Committee before being forwarded to the Research & Graduate Studies Council for final review and approval. The Strategic Grant proposals are also assessed by external reviewers.

It is an Alfaisal University requirement that internal research funding results in research proposals submitted to outside research funding agencies and, ultimately, successful external funding of the faculty members research activities. In addition, faculty members must show overall scholarly productivity (e.g. refereed journal papers which are indexed in ISI, TR, and Cabell's databases). All publications produced by Alfaisal faculty members must indicate an Alfaisal University affiliation. In addition, faculty holding IRG and/or SRG grants must clearly indicate the financial support in the acknowledgement section of the manuscript. The following statement should be used: "*Financial support from Alfaisal University through grant IRG/SRG number is gratefully acknowledged*"

6.5 Research Centers and Chairs

The University aims to establish Research Centers and Chairs that are specific to priority research topics. Centers and Chairs will be externally funded. Each Center will have its own budget, research priorities and advisory group. The Office of Research & Graduate Studies is responsible for circulating news about Centers and availability of Chairs.

6.6 Facilities and Laboratories

Alfaisal is a newly established university and as such has limited laboratories and facilities. In addition to its own research laboratories, the University will utilize facilities at affiliate institutions and organizations such as KFSHRC and KACST. These facilities are designated for use by both the University and respective party's faculty. Each facility has its own policies and criteria. The Office of Research and Graduate Studies and College Deans are responsible for facilitating requests by Alfaisal faculty for the use of facilities and laboratories at collaborating institutions, and for making periodic announcements pertaining to availability.

As of 2016 the University currently has a total of 43 laboratories consisting of 11 research laboratories and 32 laboratories to support undergraduate teaching. The research laboratories consist of:

- Three College of Engineering labs:
- CB-6-Renewable Energy, (NEW)
- CB-10 Shell Eco marathon & Capstone (NEW)
- SG-52 Nano-indentation,
- Three College of Science & General Studies labs
- SG-77 Preparation,
- SG-82 COSGS Faculty Research)
- S3-59 Biosensors & Nano biotechnologyFive College of Medicine labs
- SG-63 Physiology
- SG-81 Biomedical Research
- S3-73 Preparation (both research & undergrad)
- S3-81 Path/Microbiology/Physiology (research & undergrad)
- SB-10 Biomedical Research (HPLC)

6.7 Student Participation in Research

One of Alfaisal's priorities is competence building by, for example, helping to develop a student's intellectual abilities. Student involvement in focused research that addresses real community problems links academic programs to the actual work place through partnerships with the public/private sectors. This will help to equip students with critical thinking and problem solving skills and thus allow them to better meet the needs of the workplace and the community.

It is the responsibility of the Primary Investigator (PI), the key person applying for funding, to ensure that students who participate in research are made aware of the ethical policies and procedures and that compliance must be maintained. An account of student involvement must be detailed in the research protocol to ensure that all safety measures and necessary precautions have been taken. Endorsement forms for participation of students in research must be signed by the PI and student(s) involved.

Principal Investigators must acknowledge the contribution of students to their scholarship and research in all forms including Intellectual Works, Property, and Patents (as per section on Intellectual Property)

Graduate research is supported by the University in the form of full or partial tuition for Research Assistants during the course of their assistantships and in accordance with the stipulated tuition fee. In addition, Research Assistants receive an annual living stipend and medical coverage.

6.8 Research Misconduct

This section outlines the conditions that protect and encourage the Faculty in its scholarly pursuits. The University requires that those engaged in scholarship be dedicated to the highest ethical standards. Misconduct in scholarship by any member of the university community threatens the university as well as the individual. The policies set forth here apply to all faculty members and provide for an objective examination of pertinent facts, protection of individual rights, and integration with other relevant review procedures, all under the general supervision of the Provost/President as the senior academic administrator.

Scholarly misconduct includes fabrication, falsification, plagiarism, inappropriate allocation of authorship credit, or other serious deviation from accepted practices in proposing, carrying out, or reporting technical results and expenditure of funds from research, educational or other scholarly activities; or retaliation of any kind against a person who has not acted in bad faith and who reported or provided information about suspected or alleged misconduct; or failure to comply with regulatory requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals.

Scholarly Misconduct does not include honest error or honest differences in interpretations or judgments of scholarly matters. If the alleged misconduct is not substantiated, the University will undertake diligent efforts to restore the reputation of those under investigation. Should either the inquiry or the investigation show that the allegations of misconduct were not made in good faith, those making the allegations will themselves be subject to disciplinary action.

Decisions regarding alleged misconduct procedures should yield a just decision based on the best and most complete information available. Any decisions should be based on the expert judgment of individuals qualified in the respective scientific field, using scientific interpretations and standards of proof, with a minimum of procedural complications. At the same time, however, the process must be fair and afford all parties an equal chance to present their best arguments. The confidentiality of all parties in a dispute must be preserved to the extent consistent with the University's obligations to research sponsors and to the scientific community. Acrimony and recriminations are undesirable, so adversarial interactions should be avoided. The process should move speedily, yet haste and error must be avoided.

Guided by these principles, Alfaisal University has established a policy with four procedural stages. In the screening stage an accusation of research misconduct is brought to the Vice President for Research & Graduate Studies who will examine the charges to ensure they are potential violations of the misconduct policy and, if so, to pass the case along to an Inquiry Panel. The inquiry stage evaluates the merits of the case, determining whether there is sufficient evidence of misconduct to merit a full investigation. The investigation stage entails a detailed examination of the case to resolve the facts ("Was this or was this not an instance of misconduct?"). Ascertaining whether or not misconduct occurred is a judgment about collegial conduct that should be resolved on its merits. If at any stage in the process it becomes evident that there was no misconduct, vigorous efforts must be made to minimize and remedy any adverse consequences for the respondent's career and reputation. If misconduct is established, then the case is referred to the disciplinary stage.

6.8.1 Procedures for Investigating Research Misconduct

- **6.8.1.1 Screening Stage**
  Initial reports of alleged research misconduct must be brought to the attention of the person with administrative responsibility for the individual whose actions are in question. That person must in turn report the allegations to the Vice President for Research & Graduate Studies. Care must be taken to protect the privacy of those who report apparent misconduct. The Vice President will promptly examine the case and determine if the case falls under the misconduct policy. If so, the inquiry stage will be followed.
- **6.8.1.2 Inquiry Stage**
  The Vice President for Research & Graduate Studies will immediately inform the respondent in writing of the accusation and that an inquiry has been initiated. The Vice President will prepare a list of proposed members for the Inquiry Panel. The respondent may challenge the inclusion of specific individuals to this panel by

stating his or her objections in writing. The Vice President will then select the Inquiry Panel.
The inquiry will be conducted by a Panel consisting of two Faculty members and one academic administrator. The Panel should take no more than 30 days to conduct its inquiry and determine whether or not there is a reasonable basis to conclude that misconduct has occurred. During this discovery stage, the only persons who may be present during fact-finding sessions are the Inquiry Panel members, and any witnesses (e.g. respondent, complainant, other faculty/staff) called by the Panel. If the respondent is not available to attend, the Provost/President will fairly resolve the conflict between timeliness and the respondent's right to be present.
If a majority of the Inquiry Panel finds there is reasonable basis to conclude that misconduct occurred, then the matter must proceed to the investigation stage. The Inquiry Panel reports the results of its inquiry in writing to the Provost/President. The Provost/President will advise, in writing, the respondent and the complainant of the Inquiry Panel outcome. If there is to be an investigation, the Provost/President must advise the respondent in writing of the specific charges to be investigated. At that time, any collaborators and sponsoring agencies involved must be informed of the allegations.

- **6.8.1.3 Investigation Stage**
  Investigation of alleged misconduct will be conducted by a committee appointed by the Provost/President. The committee will be comprised of a minimum of three specialists in the subject area of the respondent and will include one individual from outside Alfaisal University. The Provost/President will prepare a list of proposed members for the Investigation Panel, which may include persons who served on the Inquiry Panel. The respondent may challenge the inclusion of specific individuals by stating any objections in writing. The Provost/President will then select, and appoint, the Investigation Panel. The Panel will elect its own Chair.
  The Investigation Panel will determine whether there was academic misconduct. The Panel will follow the procedures for dealing with charges brought against a Faculty member as described herein and will seek to provide factual information in a manner that is fair to all parties. The Investigation Panel should take no more than 60 days to complete the investigation and to prepare a written report of its findings including a recommendation on the disposition of the case. The Panel should follow pertinent regulations of the agency or agencies that sponsored the research under investigation. The Investigation Panel will submit its report to the Provost/President, who in turn may notify the sponsoring agency of the findings of the investigation.
- **6.8.1.4 Disciplinary Stage**
  For individuals found to have committed scholarly misconduct, the Provost/President may take one or more of the following actions: (a) give a letter of reprimand; (b) monitor their work performance; or (c) recommend removal from a specific research project. Other, more severe, penalties include (d) being barred from conducting sponsored research, (e) recommending a reduction in rank, (f) suspension for a fixed period of time, or (g) termination. Termination shall be in accord with procedures specified in the Faculty Handbook.
  If there is a finding of misconduct, the Provost must also take the following actions: (a) All pending abstracts and publications emanating from the fraudulent research should be withdrawn and editors of journals in which previous abstracts and papers appeared should be notified of the findings of the investigation; (b) Institutions and sponsoring agencies with which the investigated individual has been affiliated should be notified that there is reason to believe that the validity of previous research might be questionable.

6.9 Research Compliance

Faculty must comply with relevant statutes or regulations for the protection and welfare of researchers, human subjects, the public, laboratory animals and the environment. Research involving the use of Biohazardous Material, Human and/or Animal Subjects must be submitted to the Alfaisal University Institutional Review Board (IRB). Funding will not be granted for research which has not been approved.

Medical research is subject to ethical standards that promote respect for all human beings and protect their health and rights (World Medical Association Declaration of Helsinki 2000). Approval for research involving Human Subjects cannot be initiated prior to application and submission of related documentation and consent forms to the designated Ethics Committee at the facility where the research will be conducted.

Approval is granted for a specified duration and must be renewed to ensure continuation of research. It is the responsibility of the Principal Investigator to submit a progress report in accordance to the Committee guidelines for review and approval. In some instances, projects that have not obtained approval before the expiration date are terminated.

Any modifications to a research protocol, consent forms, or administrative matters in addition to reporting of adverse events must be submitted for approval by the Principal Investigator to the respective Committee(s).

Research involving the use of animals is subject to compliance of ethical practices and standards which ensure their proper care, use and humane treatment. Approvals must be obtained from the IRB available at each collaborating facility were the proposed research will take place. The IRB is responsible for reviewing and approving all research activities involving the use of animal subjects before a project is initiated. Research which does not receive approval from the IRB will not be funded.

6.10 Environmental Health and Safety

It is the duty of faculty members conducting research to take necessary measures to promote and secure safe and healthy working practices and environments. Use of rDNA, biohazardous materials, or other agents must be detailed in the research protocol. Review and approval must be obtained from respective committees in facilities where the proposed work will take place. Proposals that have not received prior approval will not be recommended for funding.

6.11 Conflict of Interest

Conflicts of interest may arise when a faculty member’s personal interests interfere with their responsibility to the university. The key factors in avoiding ethical and legal conflict of interest are personal responsibility and integrity. Alfaisal University expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the University. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and their dean. Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the University. Faculty members with the authority to commit university funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds. Only in special cases may University equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the Department Head and Dean or applicable Vice President.

7. Intellectual Property

The Intellectual Property policy of Alfaisal University encourages inventors to innovate by guaranteeing them a share in the benefits resulting from the Intellectual Property that they develop. At the same time, it also promotes research and education activities at Alfaisal by allowing the University to retain a share of the benefits flowing from all Intellectual Property developed under its auspices.

The primary categories of Intellectual Property are patent, copyright, trademark, and integrated circuit mask work protection, though from time to time other types of protection and other bodies of law may also fall under the broad heading of Intellectual Property. Intellectual Property rights govern the ownership, licensing, distribution, and commercialization of Intellectual Property.

This policy describes the rights and responsibilities of all the members of the Alfaisal community—faculty, students, and staff--in all Intellectual Property developments, as well as the rights and responsibilities of the University itself. Specifically, it describes policies concerning the ownership, licensing, distribution, and commercial development of Intellectual Property that inventors conceive, invent, develop, or use.

7.1 Ownership of Intellectual Property

7.1.1 Inventor-Owned Intellectual Property

Inventors retain full ownership rights to Intellectual Property provided that the following two conditions are met:

- Intellectual Property is not subject to a sponsored research or other agreement requiring ownership to reside in some other party including Alfaisal University.
- Intellectual Property was not conceived, created, developed, or first reduced to practice with significant use of Alfaisal University support; and as a direct result of the inventor's duties at the University.

Inventors may choose to use inventor-owned Intellectual Property in their research work at Alfaisal University. An inventor who chooses to do so, however, must grant Alfaisal a free, permanent, irrevocable license for use of that Intellectual Property for the University's educational and research activities.

7.1.2 University-Owned Intellectual Property

Alfaisal University retains full ownership rights to:

- Intellectual Property subject to the terms of a sponsored research or other agreement that grants Alfaisal rights of ownership; or
- Intellectual Property whose conception, creation, development or first reduction to practice involved significant use of university support directly resulted from the inventor's University duties.

7.1.3 Ownership of Instructional Works

For purposes of this policy, the term "Instructional Works" covers all materials developed for pedagogical purposes, including Course Materials, Courses, Courseware or any combination thereof.

- Course Materials include copyrightable fixed expressions of ideas, resources, content and/or information-like works that may be used as the basis of a course. In keeping with academic tradition and without regard to the medium of expression, Alfaisal treats Course Materials as exempted scholarly works, which are presumed to be owned by the author. As such, unless the work is subject to contractual restrictions or is a "work made for hire," Alfaisal does not claim copyright ownership of course materials.
- A Course is a comprehensive set of works that has been developed and combined to create a presentable program of study. Courses often transcend a single faculty member's design, to engage institutional authority. As such, Alfaisal owns all courses developed for teaching at the University. The use within a course of course materials or other exempted scholarly works, standing alone, shall not deprive inventors of their ownership of such materials.
- Courseware includes works that can act as tools or devices in the task of creating, managing, presenting and/or publishing course materials to produce a Course. Courseware may be patentable, non-patentable, copyrightable or otherwise protectable.

7.1.4 Ownership of Textbooks, Theses, and Other Exempted Scholarly Works

In keeping with longstanding academic tradition, Alfaisal will grant to the inventor all of the rights in such scholarly or artistic works which copyright law would otherwise give Alfaisal unless a written agreement provides otherwise.

7.1.5 Ownership of Intellectual Property Financed By Outside Sponsors

Alfaisal will retain title to all Alfaisal-owned Intellectual Property including, but not limited to, that which is conceived, created, developed or first reduced to practice in the course of Alfaisal research or other sponsored activities funded by third parties, including private persons, businesses, non-profit entities, and governmental agencies unless there is a written agreement between Alfaisal and the inventor to the contrary.

7.1.6 Intellectual Property and Conflict of Interest

Alfaisal University personnel engaged in consulting work with third parties are responsible for ensuring that their consulting agreements do not conflict with these Intellectual Property policies.

7.1.7 Ownership, Control, and Transfer of Tangible Research Property

Alfaisal shall own any and all tangible research property that an inventor conceives, creates, makes, develops, or first reduces to practice, in whole or in part, during or pursuant to his or her employment, participation in Alfaisal programs, or significant use of Alfaisal support. Any transfer of such materials to outside parties, or any transfer from outside parties to Alfaisal facilities must have the advance approval of the Office of Research.

7.2 Intellectual Proeprty Reporting, Evaluation, Protection and Commercialization

7.2.1 Disclosures

The inventor should carefully evaluate Intellectual Property that he/she has created at Alfaisal in order to determine whether or not that Intellectual Property has commercial or other value. If it does, for the protection of the interests of the inventor and Alfaisal, every inventor is obligated to disclose all Intellectual Property that he/she has created at Alfaisal. All individuals—faculty, staff, and students—who participated in the creation of the Intellectual Property should be identified, and all such inventors have the right to share in the inventor portion of any revenues or rights that are returned by the university.

The Office of Research is the primary contact for the inventor with regard to disclosure of Intellectual Property; it is responsible for protecting, marketing, negotiating and licensing Alfaisal Intellectual Property. The inventor must submit a complete disclosure form to the Office of Research within 60 days of the creation/invention and before notifying outside parties, including sponsors. The Office will then determine whether the technology is appropriate for commercialization and/or protection. The decision to protect, develop, market and/or commercialize any Alfaisal Intellectual Property is at Alfaisal's sole discretion.

7.2.2 Commercialization of Inventor-Owned Intellectual Property

Inventors may request that Alfaisal pursue the commercial development of Intellectual Property owned by the inventor. The Office of Research will evaluate the commercial potential of any Intellectual Property and determine whether or not Alfaisal will accept it for licensing. If Alfaisal decides to pursue commercialization, the inventor will be required to assign his/her ownership of the Intellectual Property to Alfaisal. The terms of such assignment will be negotiated between the University and the inventor.

7.2.3 Transfer of University-owned Intellectual Property to Inventors

If Alfaisal chooses to waive its rights in disclosed Intellectual Property, and to grant those rights to the inventor, the inventor may protect the Intellectual Property as he, she, or they may wish. If external funds supported the work leading to the Intellectual Property, this waiver is subject to any provisions in the sponsoring agreement. For example, under current U.S. federal law, if Alfaisal waives its rights in Intellectual Property conceived or reduced to practice with federal funding, the federal funding agency, rather than the inventor, becomes the assignee. The inventor may then petition the agency for the license rights in such cases.

7.3 Intellectual Property Revenue

7.3.1 Distribution of Income from Intellectual Property

The Office of Research will calculate and distribute the net adjusted income from each Intellectual Property license or licensing related transaction according to the formula "Net Adjusted Income = gross revenue, minus current and reasonable projected expenses that Alfaisal deems necessary to defend or maintain the Intellectual Property." Net Adjusted Income shall be distributed as follows:

- Inventor - 50%
- Inventor's Department and/or Center – 15%
- Inventor's College - 10%
- University - 25%

Distribution of net adjusted income will occur on a semi-annual basis.

7.3.2 Distribution of Net Equity Income Received From Intellectual Property

Alfaisal may elect to accept equity in lieu of cash payments, licensing fees, royalties, or other consideration. The decision whether to accept equity and, if so, precisely when to liquidate such equity, is at the sole discretion of Alfaisal.

7.3.3 Revenue from Instructional Works

Inventors involved in the development of Instructional Works will share, when appropriate, in Intellectual Property revenue generated from external use and distribution via licensing, assignment, licensing related transactions of such materials.

8. Consulting and Conflict of Interest

8.1 Consulting: Limitations and Reporting Requirements

Consulting and other services to outside organizations, including industry and government, often constitute very desirable activities for the faculty. These services can provide a mechanism for enriching the professional experience of faculty members, thereby broadening their backgrounds for teaching and scholarly research. The University also has a responsibility to help in the transformation of results of research into products, services, and processes that will become available in the marketplace. In many instances, affecting such a transfer requires active participation of faculty members as advisors or consultants.

Faculty members who wish to engage in consulting or other service to outside organizations must report this in advance to the head of the department and the dean of their respective college and obtain their approval. The report should describe the nature and terms of the outside employment. Such requests for approval of outside employment must be made on an annual basis and will not be unreasonable withheld.

8.2 Conflicts of Commitment

Conflicts of commitment may arise when there are competing demands upon the time and energy of a faculty member as a result of outside activities and interests. These outside activities could interfere with the faculty member's ability to meet his responsibilities to the University. Alfaisal University expects that faculty members' outside activities and interests will not interfere with their ability to meet their primary obligations to the University. Specific universal standards for defining the proper balance are not feasible, but experience indicates that full-time faculty members have difficulty meeting their primary obligations if they spend more than the equivalent of one day a week on outside activities.

8.3 Conflict of Interest

Conflicts of interest may arise when a faculty member's personal interests interfere with his/her responsibility to the University. The key factors in avoiding ethical and legal conflict of interest are personal responsibility and integrity. Alfaisal University expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the University. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and the department head and college dean. Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the University. Faculty members with the authority to commit University funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds. Only in special cases may University equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the department head and Dean or applicable Vice President.

9. HR Policy & Regulations

9.1 HR Principles

- Fairness and respect: treating faculty and staff with respect and fairness
- Employer of choice: including the proper ingredients of pay, benefits, and financial benefits
- Shared responsibility: with everyone having some authority and accountability

- Stability: job security and organizational loyalty
- Supportive environment: including encouragement and resource availability
- Orientation: a planned orientation for all employees
- Performance culture: performance much more important than entitlement
- Team processes: to make key personnel decisions to ensure fairness
- People appreciation: invest in and care for all people at Alfaisal University
- Live the principles: all staff, faculty, researchers, and administrators live these people principles

9.2 Alfaisal University Obligations

- Treat its employees with dignity, respect and fairness at all times.
- Provide its employee's with a safe, healthy and comfortable work environment.
- Provide its employees with all the resources and tools required for successful performance of their assigned work responsibilities.
- Provide employees with promotion and development opportunities based on staff members' interests and capabilities and University's business plans and objectives.
- Be fair, ethical, and honest in all business operations.
- Provide open and positive communication of University's policies, guidelines, benefits, and employment practices.
- Provide training and development opportunities to its employees to enhance their skills and competencies to maximize their performance.

9.3 Staff Obligations

- Conduct himself oneself in accordance with the generally accepted customs of his one's profession.
- Abide by the laws, policies, regulations and traditions of the Kingdom of Saudi Arabia as long as he lives within it. While living in the kingdom.
- Maintain the highest standards of courtesy and service;
- Fulfil their work obligations to the best of their abilities;
- Behave towards colleagues, superiors and subordinates with courtesy and consideration, in accordance with the Alfaisal University's values, code of conduct illustrated in this handbook;
- Take all required and reasonable steps to protect their own safety, the safety of colleagues, students, customers and members of the public, and the safety and security of University property and facilities;
- Decline any material outside gifts or benefits in the course of their work offered by suppliers or partners. Token gifts of appreciation are acceptable.

9.4 University Policies

9.4.1 Non-discrimination and Policy

In accord with governmental law, the University does not discriminate on the basis of race, color, religion, gender, national origin, ancestry, age, disability, or veteran status in employment or in any program or activity offered or sponsored by the University. The University maintains a grievance procedure incorporating due process available to any person who believes he or she has been discriminated against.

9.4.2 Sexual Harassment policy

Every member of the University community should be aware that the University is strongly opposed to sexual harassment, and that such behaviour is prohibited both by local laws and by University policies.

9.4.3 Disability and Reasonable Accommodation

Alfaisal University is committed to providing an accessible and supportive environment for employees with disabilities. Equal access for qualified employees with a disability is an obligation of the University. Alfaisal University does not discriminate on the basis of disability against otherwise-qualified individuals in any program, service or activity offered by the University. The University is committed to ensuring that no otherwise-qualified

individual with a disability is excluded, denied services, segregated or otherwise treated differently than other individuals because of the absence of auxiliary aids or other appropriate services; however, accommodations cannot result in an undue burden to the University or fundamentally alter the essential functions of the job.

9.4.4 Non-Smoking Policy

The University supports to provide a safe and healthy environment for all staff, academics, students and visitors. Alfaisal University is a "smoke free" environment. Smoking is not permitted in Alfaisal University buildings or on the campus grounds.

9.4.5 Undertaking of Other Work

University employees are not allowed to undertake any other full or part-time work without the written approval of management. Any employee undertaking any other unauthorized full or part-time work will face the following disciplinary action: At first offence – written warning, at second offence – termination with benefits.

9.4.6 Business Ethics

All employees of the University are to abide by the bylaws and policies of the University as well as the regulations of the Saudi Arabian Labor Law during the conduct of business dealings. Any violation is considered as breach of the University policy on business ethics. All employees are to show concern for the society and its customs in due course of business. No employee should indulge in any sort of bribery, dishonest means to gain favours for the University. Any such actions could lead to punitive action against employees.

9.4.7 Gross Misconduct

All employees are required to strictly adhere to approved Alfaisal University Policies & Procedures in all aspects of their relationship with The University, its employees and students as well as in the discharge of their work responsibilities. Any violation of an approved policy is cause for disciplinary action including dismissal.

9.4.8 Confidentiality

All employees must abide by strict confidentiality rules in respect of the University business contacts and their affairs. Employees should not use, divulge or communicate any such information to third parties, both during and after the term of employment, unless preauthorized in writing by the President or MoU.

9.4.9 University Property

Each employee shall be held directly responsible for the safeguard of the University's funds and properties under his/her custody. Wilful negligence or deliberate misuse of University property or equipment by an employee shall result in disciplinary actions being taken against the employee.

9.4.10 Rights to Ownership-Inventions/Patents

Inventions made in due course of work may be treated to be as property of the University. The employee will be rewarded for such an act but the usage/patent of the invention may belong to the University. Special awards may be given for any extraordinary achievements made by the employees. Faculty has a separate set of policies on this topic contained in the Faculty Handbook.

9.4.11 Conflict of Interest

University employees are not to be engaged in any activity that maybe detrimental to the performance of their work responsibilities with Alfaisal University. No employee shall use his / her position to further any product or service in which he / she has any financial interest. All employees must deal with all persons doing business with Alfaisal University in accordance with the best interest of the university and without favor or preference based upon personal consideration.

9.4.12 Personal Appearance

All Employees are expected to dress in a clean and neat manner, appropriate for their respective job responsibilities and business environment.

9.4.13 Punctuality

Administrative Employees are expected to adhere to the official work schedule and are required to notify their line manager via phone in the event of absence / lateness from work for any reason such as being sick or having transportation problems.

9.4.14 Employment of Relatives - Nepotism Policy

No administrator, officer, faculty, or employee shall participate, either directly or indirectly, in a decision to appoint or hire an employee of the University, including regular, temporary, and part-time appointments, who is related to such person within the fourth degree by blood or marriage, unless approved by the President of the University. It also shall be a violation of this policy for an employee to supervise, either directly or indirectly, the work of another employee who is related within such fourth degree, unless the supervisory role is specifically approved by the President of the University.

9.4.15 Workplace Violence Policy

Alfaisal University strives to provide employees a safe environment in which to work; therefore, the University will not tolerate violence or threats of violence in the workplace. All weapons are banned from University premises. Employees who violate this policy will be subject to disciplinary action up to and including termination. Employees who intentionally bring false charges will also be subject to disciplinary action up to and including termination. Non-employee violations of this policy will be handled in accordance with applicable laws.

9.4.16 Workplace Surveillance and Searches

The University may utilize reasonable surveillance and search measures that ensure the proper work environment. The University reserves the right to inspect and search all work areas, desks, file cabinets, lockers, and lunch boxes, containers leaving University premises, and personal vehicles on University premises. All records contained in computers (including e-mail) and storage devices should be business-related and therefore are open to inspection by the University. Surveillance cameras are positioned at several locations throughout the campus to enhance campus safety. Cameras can also monitor nearly every exterior area of campus from a central control facility. These cameras are monitored throughout the day and also provide video surveillance.

9.4.17 Information Technology Policies
(Other IT policies are contained in the ITS Department's Policy Manual)

- IT Code of Ethics (Computer Usage)
  A computer account is to be used only by the authorized user of the account. The passwords for accounts which are assigned to you are not to be given to any other person, and must be periodically changed in accordance with Alfaisal University security policies. Employees must be aware of and comply with software licenses and copyright restrictions, and shall not be party to unauthorized use or copying of software. Information stored on University computer systems is confidential and shall not be shared with individuals outside the University without the express written consent of the executive management.
- Internet
  Internet services shall not be used in a manner that would violate any law or infringe any copyright, trademark, trade secret, right of publicity, privacy right or any other right of any person or entity. The internet service is available throughout the University for all employees. It requires a request to be signed by your immediate line manager or supervisor.
- E-Mail and Desktop Enhancement Toolbars
  Email is the official means of communication between students and faculty and/or administration at Alfaisal University. It is the expectation that all official communication will use the Alfaisal University email address. Upon joining the University, each employee is assigned an e-mail address within the Alfaisal.edu domain.

9.4.18 University Logo Policy

Specifications relating to Logo, Paper, inks, and typefaces used shall be standard on all printed materials in order to promote a consistent visual identity. Logo size will differ based on size of material on which it must be printed. These standards will be set and enforced by the Public Relations Department.

9.4.19 Business Travel

Faculty

Business Travel (BT) is governed by business needs and is separate from all other defined travel and will be paid in accordance with below stated per-diem guidelines.

All authorized business travel reimbursement will be covered at the rate of 100% and shall include the following: roundtrip transportation costs from origin to destination, training/ event/ conference fees, and any required membership and registration fees. In addition, a daily per-diem rate dependent upon employee rank shall be applied. Per-diem rates will cover local transportation, accommodation, food, and documentation expenses. These per-diem rates shall be inclusive of days of travel, and shall apply per person, per trip, per year.

For administration and faculty at the instructor, lecturer, and senior lecturer rank the subsequent per-diem rates will apply (Table 1) for business travel: SR2000 for North America, South America, Western Europe, Australia and Japan; SR1500 for the Middle East, Asia, and travel within the Kingdom requiring an overnight stay, or exceeding a five hour drive; and SR250 for local travel. Travel within a three-hour drive of Riyadh is deemed local. Mileage reimbursement for local travel shall be compensated at a rate of .50 per kilometre.

Table 1. Summary of per diem rates by geographic region

Per Diem (SAR)	2000	1800	1500	250 SAR (additional mileage reimbursed at 0.50SAR per km)
Geographic Region	North America, South America, Western Europe, Australia, Japan	Eastern Europe	Middle East, KSA	Riyadh

For faculty at the professorial rank, a per-diem rate of SR2000 per day, shall apply per person, per trip, per calendar year.

For senior management and leadership, a per-diem rate shall be calculated on a case-by-case basis. This rate will require preauthorization from Vice President of Administration and Finance.

Professional Development & Training (PDT) is limited to once a year unless an exemption is made by the Provost and Vice President (VP) of Administration and Finance.

Research and Conference Presentation (RCP) will be limited to two refereed conferences per calendar year; unless an exemption is made by the Provost and VP of Administration and Finance.

Both professional development & training, research and conference presentation will be capped at a lump sum per trip as listed below:

- SR 10,000 for instructors, lecturers, and senior lectures.
- SR 15,000 for assistant professors, associate professors, and full professors.

Research Conference Travel (RCT) based on grants is governed by the approved grants; days taken to attend the conference will be charged to paid leave.

Invitation Travel (IT) is unlimited and the leave required to attend will fall under paid leave. However, employees must disclose fully any financial assistance included in the invitation to avoid double-funding of the travel.

Non-Faculty

Business Travel is governed by business needs and is separate from all other defined travel.

Professional Development & Training is limited to once a year unless an exemption is made by the VP of Administration and Finance.

Invitation Travel is unlimited and the leave required to attend will fall under paid leave. However, employees must disclose fully any financial assistance included in the invitation to avoid double-funding of the travel.

All authorized business travel reimbursement will be covered at the rate of 100% and shall include the following: roundtrip transportation costs from origin to destination, training/ event/ conference fees, and any required membership and registration fees. In addition, a daily per-diem rate dependent upon employee rank shall be applied. Per-diem rates will cover local transportation, accommodation, food, and documentation expenses. These per-diem rates shall be inclusive of days of travel, and shall apply per person, per trip, per year.

Business travel for administration and faculty at the instructor, lecturer, and senior lecturer rank the subsequent per-diem rates will apply (Table 1): SR 2000 for North

America, South America, Western Europe, Australia and Japan; SR1500 for the Middle East, Asia, and travel within the Kingdom requiring an overnight stay, or exceeding a five hour drive; and SR250 for local travel: Travel within a three-hour drive of Riyadh is deemed local. Mileage reimbursement for local travel shall be compensated at a rate of SR.50 per kilometre.

Table 1. Summary of per diem rates by geographic region				
Per Diem (SAR)	2000	1800	1500	250 SAR (additional mileage reimbursed at 0.50SAR per km)
Geographic Region	North America, South America, Western Europe, Australia, Japan	Eastern Europe	Middle East, KSA	Riyadh

For faculty at the professorial rank, a per-diem rate of SR2000 per day, shall apply per person, per trip, per calendar year for business travel.

For senior management and leadership, a per-diem rate shall be calculated on a case-by-case basis for business travel. This rate will require pre-authorization from the VP of Administration and Finance.

Eligibility requirements are summarized in Table 2.

Fulltime faculty and staff applying for professional development & training should have at least three months of service prior to travel sponsored by the university and should not be in the last six months of their contract unless approved prior to any contractual adjustments. All business, research and conference presentation, grant and invitation travel are exempted from this restriction.

Faculty and staff who will be leaving the university under voluntary separation or are being dismissed from service within six months are not eligible for professional development & training travel support; unless the travel has been preapproved prior to resignation. All business and grant travel are exempted from this restriction.

Table 2. Summary of Eligibility Requirements for Business, Professional Development & Training, Research and Conference Presentation Travel

Eligibility	**Annual Numeration**	**Per-Diem**	**Tickets**	**Supporting Documents**	
Business	Faculty & Non-Faculty	Based on business needs	Yes	Yes	Yes
Professional Development & Training	Faculty & Non-Faculty	10/15k Once a year unless exempted by: Provost/President and VP of Admin & Finance	No	Yes	Yes
Research and Conference Presentation	Faculty	Two per year 10/15k each unless exempted	No	Yes	Yes
Grant	Faculty	In line with grant	No	No	Yes
Invitation	Faculty & Non-Faculty	Approval of Provost/President/Dean	Partial/ None	Partial/None	Yes

Requirements for Business, Professional Development & Training

Quality of the conference(s) and activity/function will be determined by the employee's immediate supervisor, with supporting justification, and the final approval of attendance to be granted by the employee's dean or department head.

The following warrant the efficient use of university funds: business travel, professional development & training. Business travel will be based on business need and is not to be included in any of the aforementioned categories.

Expenditures should be within preapproved departmental budgets.

For senior management and leadership, a per-diem rate shall be calculated on a case-by-case basis. This rate will require preauthorization from VP Administration and Finance.

Pre-Approval
No reimbursement will be processed unless the travel has been properly preapproved.

Supporting Documents
For professional development & training, research and conference presentation the employee must apply by uploading all required supporting documents on the HR Portal 20 working days prior to the departure date for travel; and five working days prior for business or university-mandated travel.

Duplicate Reimbursement
No duplicate reimbursement is permitted for any employee of the university whose travel is supported by a third party. Expenses covered by a third party must be fully disclosed and adjustments will be made towards the total reimbursement for approved travel.

Point of Departure
The point of departure and return for all university-approved travel must be determined prior to the scheduled date of departure.

Finance & Human Resources Requirements
For all types of travel, the requirements of the Finance and Human Resources departments must be fulfilled by the approver.

Approval of Travel Requests
The approver of travel requests will be as follows:

- Academic
  Immediate Supervisor, and/or Dean, Department Head or Provost/President
- Administrative
  Immediate Supervisor, and/or Dean, Department Head or VP Administration and Finance

Business/University-mandated
Immediate Supervisor and Dean, Department Head or Provost/President

Externally Funded Conference/Workshop Attendance
External Research Grants and Contracts may also be used to provide funds for conference attendance; per the approved budgets and grantor agreement policies and guidelines.

Non-Funded Participation in Conferences and Workshops
Faculty invited to conferences, workshops or institutions with costs covered by the conference or workshop organizers or foreign/external institution may travel on business leave without cost to Alfaisal University.

Documentation is needed from the conference/workshop management or foreign/external institution indicating that the faculty member has been invited and that all costs are covered.

The HR Portal should be utilized for all Travel Claims.

Travel Guidelines

- Air Tickets
  Criteria for airline tickets will be as follows:
  - National carrier.
  - Most direct route and least expensive fare.
  - Transferrable, refundable, arranged and purchased by the university.
  - President of the university will travel first-class.
  - Vice presidents and members of the council of deans will travel business class.
  - All other remaining employee classifications will travel economy class.

Indirect Route or Interrupted Travel

Advance approval is required when an employee takes an indirect route or interrupts travel by a direct route other than for university business. Any resulting additional expenses shall be paid for by the employee. The reimbursement of expenses shall be limited to the actual cost incurred, or the charges that would have been incurred via a direct route whichever is less. Any excessive resulting travel time will not be considered work time, and will be charged to the appropriate type of leave. The employee shall be responsible for accurate reporting of such leave time.

Miscellaneous/Other Travel Expenses

Charges for a change in itinerary and excess baggage will not be reimbursed by the university except when there exists a reasonable explanation for the charges. Charges will be reviewed and accepted or rejected by the approver.

Confirmation of Attendance (Upon Completion of Travel)

Employees receiving reimbursement for business, professional development & training, research and conference presentation are required to submit a copy of the name badge; in addition to all other specified documents for reimbursement.

Additional Considerations

- **Consistent Application**
  Travel expenses are to be reimbursed uniformly throughout the university. This policy applies to all university employees.
- **Compliance**
  The university is not obligated to reimburse employees for expenses that do not comply with the principals of this policy.
- **Entertainment**
  Entertainment expenditures are prohibited.
- **Alcoholic Beverages**
  Alcoholic beverages are prohibited.
- **Unused Ticket or Cancellation of Travel**
  When a trip is postponed or cancelled, the original priced itinerary sent by the travel source should be retained for possible future use.
- **Communication Expenses**
  All costs for business communications will be reimbursed including costs to send and receive faxes, phone calls and packages.
- **Visa Cost**
  All visa costs will be reimbursed.

9.5 Work Schedules

9.5.1 Regular Schedule

Normal workweek consists of (40) forty hours a week for administrative employees, from Sunday through Thursday followed by two days off with pay, Friday and Saturday. The start and end hours of regular daily work will be from 8:00 am to 5:00 pm including a one hour lunch break.

Flexitime 'sliding time' can be arranged between the employee and their supervisor, but HR needs to be notified for attendance management.

It's mandatory that all administrative staff enrol and follow the attendance management system by maintaining a daily log IN and OUT. Failure to do so will be subject to disciplinary procedures according to HR Policies.

9.5.2 Prayer and Rest Periods

All Muslim employees will be allowed reasonable time off during work periods to fulfil their religious obligations. The time period assigned for prayers and lunch should not exceed one hour a day.

9.5.3 Shift Schedule

There will be three shifts for employees working under the shift schedule. The work timings and breaks of the shift will be determined by respective line managers and supervisors as per University's business and operational requirement.

9.5.4 Ramadan Schedule

Working hours for all Alfaisal University employees during the month of Ramadan will be reduced to 6 hours a day, the exact work timings will be announced by the Human Resources Department. There will be no equivalent decrease in the level of salary paid to the employees and those employees who are required to work for eight hours will be compensated with two hours overtime.

9.5.5 Absences

There are two categories of absence: planned and unplanned.

- A planned absence must be approved in advance. Planned absences occur when an employee takes vacation or other scheduled absences. Because these absences must be pre-approved by a supervisor, they are generally considered excused. A planned absence may be paid or unpaid, approved or disapproved. Any employee not reporting to work when a request for annual or any other types of approved leaves have been denied will be considered as unexcused / unauthorized absence and will be subject to disciplinary actions according to HR Policies.
- An unplanned absence is usually an absence due to illness, injury, or emergency. In the event of a need for an unplanned absence, an employee should contact his/her supervisor immediately. A supervisor will determine if an unplanned absence is excused or unexcused based on proper justification and according to HR Policies. If the employee fails to contact his/her supervisor for unplanned absence within a reasonable amount of time or if the reason for absence is unacceptable to the supervisor, then the absence is considered unexcused /unauthorized and therefore unpaid and subject for salary deduction or disciplinary procedures according to HR Policies.

9.6 Pre-Employment Medical Examination

All prospective employees prior to employment will have to undergo a compulsory medical test. The medical test will be conducted at a medical facility approved by the University; cost of this test will be borne by the University. Any exceptions to the medical test will be approved as per the Delegation of Authority Matrix.

9.7 Employee's Orientation & Induction

All new employees will receive a Departmental Induction training designed to equip them with Department and job specific information necessary to assist them to settle into their new job roles as quickly as possible.

9.8 Probationary Period

The first three months that an administrative employee works for Alfaisal University, exclusive of Eid al-Fitr and Eid al-Adha holidays and sick leaves will be considered as probationary period. During this period the university and/or the employee may at its discretion, terminate the employment contract without notice, unless the contract states a clause giving the right to terminate the contract to only one of them. If the contract is terminated during the probation period, neither party shall be entitled to compensation nor shall the worker be entitled to an end-of-service award, however, the employee will be paid for time worked.

9.9 Transfer of Sponsorship

- In the event that an employee wishes to accept a job offer from another organization, the University may approve the transfer of the employee's sponsorship, or issue the employee with a Non Objection Certificate.
- Employees holding technical and engineering positions are not allowed to join any other competitor unless a one-year period elapses from the date of the separation from the University.
- Approval of sponsorship transfer should be approved as per the Delegation of Authority Matrix.

9.10 Review, Update or Delete Information of Personnel Records

- An employee has no right to review his/her personnel records / file unless authorized by his/her line Manager. Review of personal files should be in the presence of an Officer Representative from the HR Department.
- The employee has no right to withdraw, alter or destroy any documents in his personal record / file.
- Employees must advise the Human Resources Employee Relations Officer of any changes of address, telephone number, bank account or other personal circumstances such as changes in marital status, having new dependents, etc.

9.11 Identity Badge

All employees are provided with an ID badge for free. However the employee should provide the University with a personal photo of the passport size with clear face and white background.

In the event of a change of name or position, a new card is to be issued and the old ID badge to be surrendered to the Administration Services Department. Please make sure you carry your badge with you always. If the employee lost the ID Badge then he/she will pay SR 200 upon issuing a new Badge.

9.12 Separation from Employment

Alfaisal University may terminate employment contract in writing and in accordance with the University's internal rules and the provisions of the Saudi Labor Law.
In case an employee would like to terminate their contractual work relationship with Alfaisal University, a written resignation must be submitted to immediate supervisor giving the University the full notice period as determined by the Saudi Labor Law of 60 days.

Types and Conditions of Termination

Employees could be terminating under any one of the following situations:

- Employee resignation: Employee can choose to wilfully resign from the services of the University after he/she has discussed the reasons for his/her resignation with his/her Immediate Superior.
- During Probation: if the University finds the employee unfit during the probationary period, it may terminate the services of the employee without notice.
- Due to medical unfitness: Employees who are proven to be medically unfit by an approved medical authority are liable to be terminated from the services of the University.
- Due to offences: As per article 80 of the Saudi Labor Law.

- Non-renewal of employment contract: Employees with specified term contracts shall be notified two (2) month in advance of termination of their services from the University. In the non-specific contracts, the employee's services may be terminated at any time during the contract period provided the employee is given termination notice.
- Due to retirement: on attaining the retirement age of 60 years (Hijra) for Saudi male employees and the age of 55 years (Hijra) for Saudi female employees.
- Breach of employment contract: An employee is liable to be terminated when he/she breaches a clause of the employment contract.
- Government Directives: an employee can be terminated in accordance with Government directives; end of service will be paid as per the said directive or as per the Saudi Arabian Labor Law.
- **9.12a Payment in lieu of Notice Period**
  If either party fails to submit such a notice in due time, the University or employee as the case may be will have to compensate the other party for the requisite notice period using the employee's last salary as the basis for calculation.
- **9.12b End of Service Award**
  For details refer to chapter on "Remuneration, Allowances and Benefits". As per Saudi Labor Law.
- **9.12c Termination**
  - The Function/Department Head and the Human Resources Director will be responsible for managing the termination process.
  - In case of resignation, the Immediate Superior in consultation with the Departmental Head will make a decision on acceptance or rejection of the request as per the Delegation of Authority Matrix.
  - If the resignation is accepted, the Departmental Head will duly authorize the same giving the date on which the employee could be relieved from the services.
  - The Immediate Line Manager will communicate acceptance or rejection of the request for resignation to the concerned employee in writing.
- **9.12d Exit interview**
  - The objective of the exit interview is to consolidate the employee feedback on circumstances leading to resignation, his/her feedback on policies and systems of the organization and sense of fair treatment.
  - An employee whose services are terminated due to resignation, retirement or non-renewal of employment contract will have an exit interview with the Department Head and the Human Resources Employee Relations Officer.
    Feedback from exit interviews should be analyzed by Human Resources Employee Relations Officer and actions should be determined to prevent noted deficiencies in the future.
- **9.12e Clearances**
  - The Human Resources Employee Relations Officer will issue the employee whose services are being terminated with a final clearance form.
  - The employee needs to obtain "no dues" certification from his/her concerned departments in order to qualify for end of service entitlements.
- **9.12f Service Certificates**
  - Service certificate confirming their duration of employment with the University and the last position held is granted to employees leaving the University and after all dues are settled and clearance certificate is signed.
  - The University reserves the right to inform third parties, including clients or subcontractors, of the departure of an employee. This may be done directly or through advertisements in local publications.

10. Faculty Benefits

10.1 Earned Benefits and Compensation: Salary

The monthly base salaries and annual merit increments (as discussed in Section 3.2 above) for faculty members are defined on the basis of the established Alfaisal University pay scales in accordance with their academic rank, qualifications and professional experience. Faculty will be on a 12 month contract and salaries are paid monthly. Heads of departments and deputy deans are entitled to a financial compensation based on the recommendation of the dean in consultation with the President and his approval.

- **Housing Allowance:**
  At the discretion of Alfaisal, the Employee shall receive a fixed annual housing allowance equivalent to twenty five percent (25%) of the Employee's Base Salary for each year.
- **Cost of Living Allowance:**
  A fixed 25 % of the Employee's Base Salary differential for service and cost of living adjustments in Saudi Arabia. This allowance is applicable only for expatriates.
- **Transportation Allowance:**
  A fixed 10% of the Employee's Base Salary. This allowance is applicable only for Saudi Nationals.
- **Pension Allowance:**
  Alfaisal contributes 12% of the base salary of the professorial regular faculty for pensions which are to be administered by the faculty member. This allowance is applicable only for expatriates.
- **Social Insurance Scheme**
  The Saudi Arabian Social Insurance Law provides annuity, death and disability benefits to eligible participants. Employee's enrolment in the General Organization for Social Insurance (GOSI) & (SANED) will be governed by GOSI regulations, which is as follows:
  - Saudis:
    - **GOSI**
      University contributes 11% of the employee's monthly salary (Basic & Housing Allowance) for its Saudi employees, 2% of which covers work related injuries and the remaining 9% is utilized for retirement benefits. Whereas the employee contributes 9% of his/her monthly salary (Basic & Housing Allowance) for retirement benefits.
    - **SANED**
      University contributes 0.75% of the employee's monthly salary (Basic & Housing Allowance) for its Saudi employees, whereas the employee contributes 0.75% of his/her monthly salary (Basic & Housing Allowance) for SANED contribution as per GOSI regulation.
  - **Non-Saudis:**
    University contributes 2% on behalf of its non-Saudi employees to cover for work related injuries.

    The maximum monthly wage subject to GOSI contribution is SR 45,000

  - **Relocation & Repatriation Allowance:**
    The Employee and accompanying family members (spouse and up to three children under 18 residing with Employee in Riyadh, under Alfaisal University sponsorship with resident visa and not with visiting visa or another sponsorship) shall be entitled to a maximum of SAR 11,000 per eligible member as Relocation and Repatriation Allowance that covers (Visa fees, documents attestation, visa agent fees, mail and courier cost, medical examinations, transportation expenses to/from the Saudi Embassy/ Consulate and other related fees for visas endorsement. Such allowances shall also cover:
    - Air Fare:
      Most direct Economy Class Air Fare from Employee's place of origin to Riyadh. Alfaisal may either provide airline ticket(s) or the employee may purchase the ticket(s) and will be reimbursed for the cost. In case the employee purchases the ticket(s), the rate should be pre-approved by Alfaisal Government Relation Office. .
    - Baggage Allowance:
      200 Kg for Spouse, 100 Kg for eligible children, in addition to airline allowance, by accompanied airline excess baggage or to be shipped as unaccompanied baggage.
    - Visa Fees:
      All visa fees for eligible family members. Upon first to the Kingdom & once yearly.
  - **Education Allowance:**
    School Allowance
    Eligible grades and positions

    - Grade 10 & Above
    - Professorial Rank

- Senior Lecturer & Lecturer
- Principal Instructor & Instructor
- Laboratory / Workshop Specialist & Technician

Up to SR. 40,000 per eligible child per annum, up to three (3) children under the age of 18 and residing with Employee in Riyadh, under Alfaisal University sponsorship with resident visa.

Prior arrangements and approvals required from President for home schooling. Again, a limit of three (3) children applies, under the age of 18 and residing with Employee in Riyadh, under Alfaisal University sponsorship with resident visa.

1. An educational allowance for elementary, intermediate, and secondary education will be paid for a maximum of thirteen regular academic years for an eligible student pursuing the high school program in Riyadh. If an eligible student has already completed a number of years of elementary, intermediate, and/or secondary education before the appointee becomes entitled to an educational allowance, the educational allowance for the eligible student is for the remaining years only.
2. The educational allowance for elementary, intermediate, and secondary education will consist of payment of all reimbursable expenses.
3. The following reimbursable expenses may be paid upon presentation of receipts, school registration certificate, and list of the school fees, up to a maximum limit of SAR 40,000 (forty thousand) per child:
    a. Tuition, as defined in the catalogue or descriptive literature of the school in question as the charge for instruction for the course for which the eligible student is enrolled, or the cost of a reputable and internationally recognized correspondence course and examination fees, but not including the charges for summer session courses or activities that are not necessary for graduation. [Tuition Fees as invoiced directly from School.]
    b. The charges and fees (whether or not separately stated) for registration, examination, health services, transportation to and from the school, the use of libraries and laboratories, and graduation. [Transportation Fees as invoiced directly from School and not from a third party transport services.]
    c. If the cost of books is not included in tuition then the books costs will be reimbursed. [Transportation Fees as invoiced directly from School and not from a third party transport services.]
    d. Any tuition fees, charges, or expenses not specifically mentioned here are not reimbursable. Such non-reimbursable expenses include, without limitation.

Scholarship for Undergraduate Programs at Alfaisal University

Group	Minimum Years of Service	Eligible Children
A*	5 Years	1
B*	3 Years	2
C*	Immediate	3

(A) Admin
(B)Senior Lecturer, Lecturer, Principal Instructor, Instructor, Laboratory / Workshop Specialist & Technician
(C)Professorial Rank

For children below 28 years of age that fulfil academic criteria for University Preparatory Program (UPP) or direct admission to Alfaisal University.

Scholarship for Graduate Programs at Alfaisal University

Eligible grades and positions

- All Employees
- Minimum 2 years of service at Alfaisal University

The employee can select one of the following suitable options.

1. Full scholarship for two years, after commitment from the employee to the university to work four years without requesting increment in salary or financial benefits.
2. 50% scholarship, after commitment from the employee to the university to work two years without requesting increment in salary or financial benefits.
3. 3. 20% Scholarship with extension of study duration until four years after commitment from the employee to the university to work two years without requesting increment in salary or financial benefits.

   Terms;

   A. Fulfil Admission Criteria.
   B. and, applicable once the minimum program cohort is achieved.

Scholarship for Dependents Graduate Programs at Alfaisal University

Eligible recipients;

- All Employees Dependents
- 50% Scholarship on all programs.

Medical Insurance:
In-Patient & Out-Patient Coverage [20% Deductible]

Eligibility:
The faculty appointee, spouse and eligible children are eligible for access to the Alfaisal University Class A medical insurance policy.

10.2 Holidays, Vacations and Sick Leave

10.2.1 Annual Leave Pay and Travel Allowance:

Annual Leave Entitlement;

- Dean / Acting Dean: 30 Working Days
- Faculty: 60 Calendar Days [44 Working Days]

Semester Break Entitlement is as per the academic calendar published by MoE for the following category;

- Academic Staff
- Dean / Acting Dean
- Faculty

Annual Leave starts one week after the end of final exams in the spring semester and faculty members are expected to report back to work minimum of one week before classes start in the following fall semester. Annual leave is treated as leave with pay, so that normal salary and benefits continue in effect during the Annual leave period. No additional payment is granted during Annual leave. Annual leave will be coordinated with the department head and/or dean to ensure that university business is not negatively impacted. Deans and department heads are expected to report back to work two weeks before the start of the academic year. Leave in the break between the two or three semesters/terms is per announced university academic calendar and must be

discussed with the concerned dean to ensure that a faculty member's leave does not negatively impact the university business. Annual leave for faculty in the All College's will be coordinated with the dean to guarantee that the business of the college is attended to throughout the year.

When a faculty member has an addendum for Acting Dean, than they are only entitled 30 working days per year.

Faculty must utilize his/her leave in the year it is due. He/She may not forgo it or receive cash in lieu during his/her period of service. They may carry forward to their next contract a maximum of 30 days if they could not utilize them due to the need for them to provide coverage with the Dean's prior approval. Such postponement shall not, however, exceed the end of the year following the year the leave is due.

University will grant the following recognized official holidays to its employees with full pay:

- 10 Calendar days on the occasion of Eid al-Fitr starting from the day following 25th of Ramadan according to Um al-Qura calendar. (This time period may vary according to the official Ministry of Education (MOE)posted calendar)
- 10 Calendar days on the occasion of Eid al-Adha starting on the 5th day of Dhu Al Hijjah according to Um al-Qura calendar. (This time period may vary according to the official MoE posted calendar)
- 1 day on the occasion of the national day of the Kingdom (1st of Mizan (corresponding to the 23rd of September)
- 1 day on the occasion of the founding day of the Kingdom (corresponding to the 22nd of February)
- Annual Leave Travel (ALT):
  The spouse and up to three eligible children under 18 residing with Employee in Riyadh (Under Alfaisal University sponsorship with resident visa and not with visiting visa or another sponsorship) will be provided most direct basic Economy round trip airfare to place of origin annually. Alfaisal will pay the equivalent of the cost of round trip ticket(s) for the eligible members based on quotations obtained from Alfaisal University authorized travel agent. Payment is made at the end of March/April and no receipts are required.
  No reimbursements on actuals will be acceptable. The university is making the payments in March/April so that the employee will have ample time to make suitable summer bookings within the allotted amount issued.
- If the Employee's spouse is eligible (residing with the appointee in Kingdom of Saudi Arabia) to receive a similar allowance from Alfaisal University or another employer, ALT is not provided for the spouse; and if the Employee's spouse's allowance extends to any eligible child, ALT is not provided for that eligible child. If early termination of the contract after the ALT has been paid then the ALT will be deducted from the end of service benefit.
- Alfaisal will provide one Single Exit-Re-entry Visa annually to the employee and eligible dependents. Multiply exit-re-entry visa can be arranged at employee cost.

10.3 Non-Academic Leave

(Emergency Leave, Leave Without Pay, Sick Leave)

10.3.1 Marriage Leave

Upon an employee's marriage, a paid leave for a period of Five (5) calendar days will be granted. The employee should not defer or postpone this type of leave. It should be taken on occurrence.

10.3.2 Birth of a Child Leave

Three (3) calendar day leave is granted to male employees during the first week after childbirth; female employees are excluded from this benefit as it is covered under the maternity leave benefit.

10.3.3 Compassionate Leave

In event of the death of an employee's immediate family member, which is defined as his/her father, mother,

brother, sister, grandfather, grandmother, wife, husband, children and grandchildren, the employee will be entitled to paid leave for Five (5) calendar days. Additional two (2) calendar traveling days will be granted to all expatriates. The employee should not defer or postpone this type of leave. It should be taken on occurrence.

A female employee whose husband passes away shall be entitled to a fully paid compassionate leave for a minimum period of fifteen (15) calendar days for Non-Muslim female employees and one hundred & thirty (130) days for Muslim female employees as of the date of death.

10.3.4 Family or Emergency Leave
Employees are allowed an emergency leave up to a maximum of (10) work days per year, as follows:

- It covers all other emergency situations which cannot be postponed and require the immediate presence of the employee and any other situations where the employee finds it necessary to be present.
- Emergency paid leave requires the employee to provide proper and valid justifications.
- Expenses associated with emergency leaves such as (tickets, visas, etc.) are paid by the employee.
- Emergency leave require prior approval from line manager or supervisor and as per the Delegation of Authority Matrix.
- Emergency Leave cannot be carried over to the next year.

10.3.5 Hajj Leave
The University provides additional (5) calendar days for Muslim employees who wish to perform Hajj in addition to Eid Al-Adha Holidays. This Hajj leave entitlement is provided once to the employee during his/her employment with the University.

10.3.6 Examination Leave
An employee who is pursuing his/her studies at an educational school, institute or university and is required to sit for an examination shall be granted leave with full pay for the actual number of days of the examination.

- To be eligible for this leave, an employee should not be repeating an examination, it should be his/her first attempt and his/her enrolment in the institution / university should have prior approval as per the Delegation of Authority Matrix.
- It necessary that the employee shall apply for the exanimation leave at least fifteen days ahead of the exam due date.
- Employee shall have to produce the following documents to qualify for this leave.
- Certificate of enrolment at an educational institution.
- Schedule of Examination.
- Evidence of attendance for all days of the examinations.

10.3.7 Maternity Leave
A female employee shall be entitled to a maternity leave for a total of ten weeks distributed as suitable for her. The maternity leave consists of a maximum of four weeks prior to the expected date of delivery and six weeks following the date of delivery. The likely date of delivery shall be determined by the physician or pursuant to a medical report certified by a health authority.

- A female employee may not work during the six weeks immediately following delivery, and has the right to extend her leave for another month without pay.
- If a female employee gives birth to a sick or disabled infant, and his/her condition requires to be accompanied by an attendant, the female employee has the right of a one month paid leave following the end of her maternity leave, and has the right to extend such leave for another month without pay.

When a female employee returns to work after her maternity leave, she shall be entitled to a rest period or periods not exceeding in aggregate one hour a day for a period of two years from the childbirth date for nursing her infant. Such period or periods shall be calculated as part of the actual working hours and shall not entail any deduction in her salaries.

10.3.8 Sick Leave

- The University covers sick leaves per Saudi law, Sick Leave is fully paid (100%) during the first month, reduced to (75%) for the second month and for the third month, at which point paid Sick Leave ceases.
- Where sickness continues for longer than 120 calendar days in a certain calendar year then he/she will be referred to an authorized medical committee, which will decide the employability status of the employee.

10.3.9 Sabbatical Leave

The objective of sabbatical leave is to provide faculty with a change of environment in order to pursue scholarly activities, as well as to interact directly with scholars in leading academic and research institutions. Scholarly activities that are considered for sabbatical leave may include pursuing and extending some on-going research, initiating research in new and diverse areas, working in industry in the area of research and development, gaining research-orienting experience or creating an engineering design or product, and writing a research-oriented book or monograph. The faculty member may also make use of the sabbatical leave for updating course materials or preparing new courses. All of these activities must be relevant to the faculty member's academic development and in accordance with needs of his department and the University. The request for sabbatical leave will be considered case by case basis.

10.3.10 Business Leave

Business Leave (BL) is governed by business needs and is separate from all other leave types and will be considered as paid leave in accordance with the approved travel request(s). The business leave days will be respective to the actual days of pre-approved travel days.

- Research Conference Travel (RCT)
- Invitation Travel (IT)
- Funded Participation in Conferences and Workshops
- Non-Funded Participation in Conferences and Workshops

10.4 End of Service Benefits

- As per The Saudi Labor Law and upon the end of the work relation, the employer shall pay the Employee an end-of-service award of a half-month wage for each of the first five years and a one-month wage for each of the following years in the event of renewal of contract. The end-of-service award shall be calculated on the basis of the last month's salary and the Employee shall be entitled to an end-of-service award for the portions of the year in proportion to the time spent on the job.
- If the work relation ends due to the Employee's resignation, he or she shall, in this case, be entitled to one third of the award after a service of not less than two consecutive years and not more than five years, to two thirds if his or her service is in excess of five successive years but less than ten years and to the full award if his service amounts to ten or more years.
- The Employee is entitled to an end of service benefits for fractions of a year in proportion to his/her service period during that year.
- Employees will be entitled to their entire end-of-service benefits on final settlement in the following circumstances: on completion of service as stipulated by the employment contract, on cessation of employment for any reason outside the employee's control, including call-up for Saudi Military Service, on termination of employment for any reason not specified in Article No. 80 of the Saudi Arabian Labor Law.
- The last month salary for the above award is composed of basic salary, cash housing allowance and cash transportation allowance.
- End-of-service benefits will be released only once the employee has completed the clearance form and signed the receipt of Final Settlement, and has promptly provided Employee, Employee's spouse and children's passports and Saudi Residence Permits for exit arrangements from Saudi Arabia.
- Encashment of the balance of any unused vacation days is included in the computation of end of service benefits.
- In the case of an employee's death, the University will pay the employee's End of Service Benefits (EOSB) to beneficiary or legal heir as per the Saudi Arabian Labor Law.

11. University Facilities & Services

Alfaisal University offers employees a range of facilities, services, and other resources aimed at providing opportunities for recreation, learning, and social interaction, and at promoting health and welfare. The following sections describe some of the resources available on campus for the convenience of Alfaisal University employees.

11.1 Parking

The University shall provide car parking areas for its employees in the designated parking areas determined by the Facilities Department. The University takes no responsibility for the safety and security of your car while at the car park. It is your responsibility to ensure your car is locked and parked properly.

11.2 Use of Assets

Alfaisal University property including, but not limited to assets, information, offices, furniture, equipment, E-mail and stationery are to be used by staff members for the sole purpose of performing their job responsibilities satisfactorily. Each employee shall be held directly responsible for the safeguard of the University's properties, tools and equipment under his/her custody. Negligence or deliberate misuse of the University's property shall be regarded as a serious offense.

11.3 Services for Handicapped

Alfaisal University has attempted to insure that disabled persons have access to all parts of the campus and the opportunity to participate in programs throughout the University.

An Access Map for Handicapped Persons is available from the Facilities Department. The map is designed to aid persons with mobility impairments, dining facilities, and access routes. Special handicapped parking permits are also provided

11.4 Occupational Health and Safety

Alfaisal University makes every effort to provide a safe and healthy work environment for all employees. Employees are expected to follow occupational health and safety policies established by the University as well as the local laws of the Kingdom of Saudi Arabia to preserve their own health, safety and that of their fellow employees.

11.5 Office Safety

All work performed in University offices and administrative areas will be conducted using safe work practices. Office and administrative areas will be maintained free of recognized hazards.

Responsibility

- Office Supervisor
  - The ultimate responsibility for office safety rests with the office supervisor. All work hazards must be anticipated and appropriate safeguards utilized.
  - Ensures all employees are properly trained and instructed in safe office practices and aware of all hazards associated with their work.
- Employees
  - Follows the University's OH&S policies and instructions of the responsible Office Supervisor and the OH&S Officer.
  - Brings to the attention of the Office Supervisor and/or OH&S Officer potential hazardous situations.
- OH&S Officer
  - Assists Office Supervisors in correcting hazardous situations and designating safe working practices.
  - Periodically inspects all office facilities to ensure compliance with existing University policy.

11.6 Accident Prevention and Reporting

Purpose and Application

This policy is written to ensure that all employees, students, contractors, and visitors follow safe work practices, report unsafe work conditions, promptly report accidents and incidents, and work to prevent reoccurrence.

This policy applies to all University employees, students, and visitors when engaged in a University activity taking place on or off campus.

Definitions and Scope

"Accidents" include all sudden or non-sudden events that cause injury to a person. Even "minor" injuries such as cuts or sprains are considered accidents. If in doubt, treat a situation as if it were an accident.

"Incidents" include near-miss events that have the potential of causing personal injury. Any event that causes damage to University property is also considered an incident.

Roles and Responsibilities

- Employees are responsible for following safe practices,
- Reporting to their supervisor, any conditions that they consider unsafe.
- Promptly reporting (within 24 hours) all accidents and incidents to their supervisor or other appropriate University official.
- Safety & Security Center must be promptly notified of serious accidents or injuries that require medical attention.
- Supervisors are responsible for securing the accident scene, analysing the accident and reporting the circumstances, including hazardous condition that exists.
- The OH&S Center assists in providing information and training on safe work practices,
- Conducts inspections of work areas, investigates certain accidents and incidents to determine the root cause of the accident or incident, and recommends preventive/corrective actions.
- The Human resources Department process all accidents that have potential to result in a worker compensation or insurance claim.
- The Safety & Security Center are first responders to serious accidents and conduct initial investigation.
- Employees injured at work can seek medical treatment at the designated GOSI hospitals and medical centres. The health centre available at the University also provides medical services to employees and students.

11.7 What to do when Hearing a Fire Alarm

On hearing the fire alarm, leave the building immediately by the nearest available exit, closing doors as you leave. Lifts must not be used. The fire alarm signal (bell, siren or electronic sounder) is described on the Fire Action Notices, displayed throughout each University building.

- **11.7a Emergency Exit Routes**
  - Each area of the building/work site has at least two means of escape and are to be used in a fire emergency. The location of exits and the path of egress (escape) will be shown on maps (and posted throughout the building as necessary).
  - Fire exit doors will not be blocked or locked during business hours in order to prevent their emergency use (when employees and students are within the building).
  - Exit routes from the work site will be clear and free of obstructions. All exits are marked with signs designating exits from the premises.
  - Each exit discharge must lead directly outside or to a street, walkway, refuge area, public way, or open space with access to the outside.
  - Employees must be able to open an exit door from the inside without keys, tools, or special knowledge. A device such as a panic bar that locks only from the outside is permitted on exit discharge doors.
  - Exit route doors must be free of any device or alarm that could restrict emergency use of the exit route if the device or alarm fails.

    - All exits are to open outwards to prevent blockage in case of an emergency.
- **11.7b Fire Evacuation Procedures**
    - If you discover a fire, an explosion, or smoke in a building, activate the fire alarm system immediately at the nearest fire alarm pull station to evacuate the building (see “Evacuation Procedures” below).
    - After sounding the fire alarm, call extension 7857 from a safe location. Provide the building name, address, floor, room number, and any known special hazards at the location. Do not assume that someone else has called.
    - If the fire is in an unoccupied room, try to close the door to retard the spread of smoke and heat; do not take any unnecessary risks in doing this.
    - Only if the fire is small and you have received University training in fire extinguisher operation should you attempt to extinguish the fire; do not take any unnecessary risks in doing this.
    - When University Police and/or fire fighters arrive, direct them to the fire.

11.8 First Aid Kits

It is the policy of OH&S Centre to provide a place of employment that is free from recognized hazards that cause or are likely to cause death or physical harm to employees or the public. Because hazards may exist, OH&S Centre will assess hazards in the workplace and potential hazards at worksites and train adequate numbers of employees in First Aid and provide first aid equipment to ensure that employees receive prompt assistance in case of injury.

11.9 Laboratory Safety

Roles and Responsibilities

Administrative Responsibilities

Each individual College member is responsible for implementing all University health and safety policies in his/her laboratory. The College Dean / Department Director will assure compliance with existing health and safety policies and will designate a Safety Advisor to be a liaison with OH&S Centre.

The Departmental

Responsible for assisting each College member in implementing University safety and health policies. Campus Centre Safety Committee may assist by conducting inspections, reviewing laboratory operations that involve particularly hazardous chemicals that require prior approval, and reporting all accidents and potential safety problems to OH&S Committee.

Each College Member

Responsible for implementing all health and safety policies in the laboratory. The College member is responsible for developing written safety procedures applicable to their research, mandating lab practices and engineering controls that reduce the potential for exposure to hazards, informing lab staff and students of potential hazards, assuring employee and student training, supervising the lab, instructing lab staff on the location and use of all safety equipment in the facility, reporting accidents, and maintaining the related forms in the laboratory.

Employees and Students

Must follow all safety and health procedures specified by the College supervisor in the laboratory. Employees and students must also attend required health and safety training sessions, report accidents and unsafe conditions, and notify the College supervisor of any pre-existing health conditions that could lead to serious health situations in the laboratory.

OH&S Committee

Responsible for providing technical guidance on matters of Laboratory safety. OH&S Committee is also responsible for inspecting labs, investigating accidents, making recommendations for remediation of problems, coordinating clean-up operations in the event of a chemical spill, developing and conducting training programs, working with state and local officials on matters of code and enforcement, and overseeing the adoption of all University health and safety policies.

11.10 General Administrative Services

11.10a Residency / Work Permits

- The Government Relations Department shall maintain a record of all issued visas on a timely basis; monitor the remaining number of allowed visas, and expiry dates. This record shall contain the following:
  - Visa Number.
  - Visa Validity.
  - Position.
  - Country of Origin
  - Gender
- Residency, work permits, and other subjects related to labor law must be performed and completed to guarantee the legal presence for employees and legal status for the University.
- The University shall pay for the renewal of employee's residency permits (Iqamas) and work permits.
- The Government Relations Department shall commence the processing of necessary legal requirements (such as new Labor Card, Iqama, etc) as soon as the new employee joins the University.
- The HR Department shall always maintain a copy of all employees' residency or other documents such as a passport copy and a copy of the work permit in their personnel files.
- Prior to renewal of a work permit, efforts must be made to ascertain that there are Saudi national applicants who possesses the required qualifications and is willing to undertake the same scope of work in question.
- The University shall bear the fees of sponsorship transfer up to the cost limit of a first time transfer for non-Saudi employees being accepted to work for the University.
- The University may not employ a person to work in a profession other than the profession specified in his residency permit.

11.11 Passports and Residency Permits Administration

- The Government Relations Department shall keep track of all residence permits (Iqamas) for all the non-Saudi employees of the University.
- The Government Relations Department is responsible to follow up and ensure adherence to all above policies related to passports and residency permits.
- The employee is responsible for any penalties due to late Iqama submittal for renewal if being notified by the Government Relations Department.
- Employee is responsible for paying all expenses related to the loss of residency permits (Iqama).
- The University shall pay the fees of adding new dependents in the employee's residency permits (Iqamas).

11.12 Employee Records

- Human Resources Department shall maintain an individual file for each employee.
- The employee file should contain the following documents and records:
  - Photocopies of all relevant academic certificates.
  - Photocopies of all Identification Documents (Saudi National Identity Card, Personal Identification, Passport, Iqama / Resident, work permit, etc.).
  - Original medical reports carried out as per University requirements. These would include results of the pre-employment medical examination report, sick leave notifications, as well as health checks to verify ability to perform work.
  - Original signed Performance Appraisal Forms for each year the employee has been in service.
  - Record of all planned and completed training activities, and photocopies of all training certificates.
  - Record of any Rewards or Penalties the employee has received.
  - Record of all leaves taken and remaining leave entitlements.
  - Record of any sponsorship the University has provided to the employee to third parties.
  - Contact details, including home address and telephone number, and emergency contact. A copy of the stamped final departure certificate.

- Employee records are confidential and must be maintained under the custody of the Human Resources Department.
- Employee records should not be disclosed to individuals outside of the University without the employee's prior written authorization, except where information is required to be disclosed by law or legal process. However, where an employee joins another University, and his/her new employer conducts a verification of employment; the Human Resources Employee Relations Officer is authorized to provide information upon such a request.

Information Technology Department

Backup Management Policy -IT001

Policy Code
IT001
Department/Office
IT Services
Version
02

1. Introduction

This policy defines the backup policy for servers within the University which are expected to have their data backed up. The mission critical applications are typically installed on servers but are not necessarily limited to servers. Servers are expected to be backed (e.g. File Server, Mail server, Application Servers and the Web Server).

2. Purpose

This policy is designed to protect the business critical applications/data at Alfaisal University to ensure that it is not lost and could be recovered in the event of an equipment failure, intentional destruction of data or disaster.

3. Policy Scope

This policy applies to all the data and computer equipment owned, supplied or maintained by the University including servers, desktop computers, laptops and portable computers

4. Backup Management Policy

4.1. Policy Statements

4.1.1. The purpose of the systems backup is to provide a means to restore the integrity of the Computer Systems in the event of a hardware/software failure or physical disaster and provide a measure of protection against human error or the accidental deletion of important files. The systems backup will consist of regular, full and incremental backups.

4.1.2. This policy provides guidelines for establishing backup procedures. Exceptions to the standard procedure are permitted when justified. All exceptions must be fully documented. The standard procedure for systems backup is as follows:

a. Incremental backups will be performed daily (on all week days from Sun through Thu). Incremental backups will be retained for a week, at which time the media will be recycled.
b. A full systems backup will be performed weekly during Weekends. Weekly backups will be saved for a full month.
c. The last weekly backup of the month will be saved as a monthly backup on the first day of the month. The other weekly backup media will be recycled.
d. Monthly backups will be saved for one year, at which time the media will be recycled.

e. All off-site copies will be stored in a secure fireproof safe at a remote location.
f. All backup media that is not re-usable shall be thoroughly destroyed in an approved manner. Backup media that is used for other purposes shall be thoroughly erased.

4.2. Timing

Backups (Daily, Weekly & Monthly) are performed after the working hours on all days. Off-site copies are performed during the weekends.

4.3. Delegate & Custodian

The IT Director shall delegate a member of the IT department to perform regular backups and to be the custodian of all the records under his custody. The delegated person shall develop a procedure for testing backups along with the business owners of the applications and test the ability to restore data from backups on a periodic basis. Each data backup process should have at least one primary person-in-charge and a substitute.

4.4. Restoration of Data (Testing)

The restoration of data using data backups must be tested at irregular intervals, at least after every modification to the data backup procedure. It must be done at least once to ensure that complete data restoration is possible.

4.5. Documentation

Documentation is necessary for orderly and efficient data backup and restoration. The person- in-charge of data backup should fully document the following items for each generated data backup:

a. Business unit owners request for the required backup with details.
b. Date of data backup
c. Type of data backup (incremental, full)
d. Number of generations
e. Responsibility for data backup
f. Extent of data backup (files/directories)
g. Data media on which the operational data are stored
h. Data media on which the backup data are stored
i. Data backup hardware and software (with version number)
j. Data backup parameters (type of data backup etc.)
k. Storage location of backup copies

4.6. Offsite Location

The designated offsite location is KFF Head Office.

5. Business Owner Responsibilities

It is recommended that the designated administrators of each application perform a secondary backup for their data. Periodic restoration should be performed on the backed up data by running a test case to make sure data can be recovered since users may be relying on a file that has been corrupted in the back-up process.

6. Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

7. Enforcement

Non-compliance with this policy could severely impact the operation of the institution by exposing the University to permanent loss of University data leading to loss of financial records, students' records, other records, research material. It may also expose the individual or the University to legal action.

8. Definitions

Backup: The saving of files onto offline mass storage media for the purpose of preventing loss of data in the event of equipment failure or destruction.

Restore: The process of bringing off line storage data back from the offline media and putting it on an online storage system such as a file server.

Full Backup: A Full Backup creates a copy of every file on a storage device. This is absolutely the most complete, comprehensive, and fool-proof type of backup. It is also the costliest in terms of effort, time and money output.

Incremental Backup: An Incremental Backup creates a copy of files that have changed (modified, added to, or created) since the last backup was performed. This method can be used in conjunction with full and partial backups to maximize protection and minimize cost.

Email Usage Policy -IT002

Policy Code
IT002
Department/Office
IT Services
Version
01
The University's email system can be used to distribute information by a specific user (i.e. faculty, staff and students). Email messages to specific secure groups require authorization and approval by the executives as specified in this document.

Policy for Acceptable Use of Emails

1.1. Acceptable Use of Emails Statements

1.1.1. Users should refrain from using Alfaisal email ID for personal emails.

1.1.2. Passwords should not be shared with anyone and should not be sent through emails.

1.1.3 Alfaisal internal announcements/emails or mails containing sensitive information should not be forwarded or transmitted in any form to anyone outside Alfaisal.

1.1.4. Users should not subscribe or participate in any email list using their Alfaisal email ID that provides access to unsuitable content.

1.1.5. Users should not mail or forward obscene, disrespectful, or offensive material.

1.1.6. Use of offensive, abusive, violent, threatening and harmful content through emails is strictly prohibited.

1.1.7. Alfaisal reserves the right to track, access, block, drop or redirect mails which could damage the harmony and integrity of Alfaisal.

1.2. Acceptable Use of Emails Guidelines

1.2.1 If a user receives an email containing offensive, obscene, or improper content, he should immediately inform the ITS (IT Services).

1.2.2. Users should immediately inform any identity theft or spoofing to the ITS.

1.3. Email Broadcasting

Email Broadcasting is meant to reach specific audience in order to convey important, relevant information. Alfaisal email broadcasting system is for the delivery of important, emergency or time-sensitive information. Messages which must be communicated quickly should use multiple methods of conveyance.

1.4. General Email Broadcasting Statements

1.4.1. The message must be from a valid alfaisal.edu email account

1.4.2. ITS will create and maintain secure/unsecure groups for targeted university audiences.

1.4.3. Designated personnel are only authorized to send broadcast messages to specific secure group(s).

1.4.4. All broadcasting messages should have a short and clear descriptive subject for the message.

1.4.5. The use of attachments should be minimal for all bulk broadcasting messages.

1.4.6. It is the responsibility of the department to determine the appropriateness of the messages, proofreading, and following the guidelines for sending broadcast messages.

1.4.7. The message must concern Alfaisal, and it must be sponsored by a department.

1.4.8. The broadcast subject should be sent by only one person and not be redirected from another.

1.4.9. The email subject should reflect the Topic/Agenda/Event that is scheduled to occur.

1.4.10. A signature is required from department personnel that contain a phone number.

1.4.11. All html links if provided must be functional and from a valid source

1.4.12. Broadcast messages must be sent at least one business day prior to the event or program being publicized.

1.4.13. Messages concerning personal events, business or promotional in nature should not be broadcasted.

1.4.14. This provision explicitly prohibits the posting of unsolicited electronic mail to lists of individuals, and the inclusion on electronic mail lists of individuals who have not requested membership on the lists.

1.4.15. Student's electronic mailing list for a class in which they are registered would be used for the purpose of official communications between authorized University personnel and an identified group of students.

1.5. Email Broadcasting Guidelines

1.5.1. Check the email twice before sending.

1.5.2. Know your intended group or audience.

1.5.3. User should consult ITS or refer the Policy Based Distribution Groups Document for the Distribution Groups available in the email system.

1.5.4. Broadcast email messages are not recommended as the only means of communication for circulating emergency or particularly time-sensitive information.

1.5.5. Keep it simple. Brief, plain text messages are advised not to use graphics, embedded images or attachments instead can use links to direct recipients to a portal / website where they can obtain more information

1.5.6. Use resources wisely. Email is a university resource which should be used sensibly.

1.6. Email Safety and Spam Control

Email protection is “enabled” on the email Server to provide defense against malicious infections such as Spam, virus, Trojans, worms, spoofing and other malware. Users may not purposely send or forward emails containing viruses or other malicious infections.

1.7. General Email Safety and Spam Control Statements

1.7.1. If the user receives any infected email, immediately notify ITS to take proper action.

1.7.2. Spam Filtering is enabled on the email Server based on a spam score as determined by the global standard.

1.7.3. Spam mail(s) will be either quarantined or redirected to the Junk folder of the recipient.

1.7.4. Emails that are identified by the scanner as infected will be automatically quarantined.

1.7.5. Quarantined emails will be kept for 7 days; after which they will be automatically deleted.

1.7.6. The user is responsible for checking the Junk folder regularly to ensure that spam emails have been categorized correctly.

1.7.7. If a genuine email is categorized as Junk, the user should set it to "non-spam" as specified within the email in order to receive it in inbox i.e.to the safe list.

1.8 Email Safety and Spam Control Guidelines

1.8.1. If the user receives a message from an anonymous source, or strange subject line, he should inform ITS and delete that email immediately.

1.8.2. The user should not reply to emails from unknown senders.

1.8.3. Users should avoid using their Alfaisal email address in chat rooms, newsgroups, and mailing lists. The chances of receiving spam emails increase when an email is publicly posted.

1.8.4. Users should consider using filtering on incoming mail in their email client (Microsoft Outlook).

1.8.5. Emails identified as spam will be automatically received into the junk folder. Users are advised to regularly check the junk folder to identify any emails that were mistakenly categorized as junk by the email system.

2. Mailbox Statements

2.1 Mailbox maintenance email archiving and storage

2.1.1. Alfaisal ITS offers email accounts in Outlook, and Webmail access. Users are responsible for setting the mailboxes on their personal smart devices.

2.1.2. ITS provides the default configuration in Microsoft Outlook. Users are responsible for setting personalized mail features such as signatures, out of office replies that are in line with Alfaisal standards.

2.1.3. Users are responsible for keeping their email account's size under the assigned quota threshold by deleting unnecessary emails and/or archiving old emails by storing them locally. ITS will provide required assistance.

2.1.4. Whenever mailbox reaches 90% of its allocated size, the user will be automatically warned to clear up space from his email account. When the account reaches 100% the user will automatically receive an email notification and will not be able to receive new mails. In order to receive/send new emails again, the user should clear up space in his account by deleting unwanted emails, archiving old emails, deleting emails with big attachments, etc. For assistance on how to clear and archive emails, users can contact the ITS.

2.1.5. Spam emails will be received in the junk folder which also adds up to the mailbox quota.

2.1.6. Email accounts are backed up regularly on a daily, weekly, and monthly basis.

2.2 Mailbox guidelines

In order to have a safe and secure network environment, all users at Alfaisal must adopt the following precautions:

2.2.1. Webmail is enabled to provide access to email through http://webmail.alfaisal.edu for Employees and http://smail.alfaisal.edu for Students .

2.2.2. Whenever users access their webmail from a public PC, they should make sure to log off (Sign off) their Alfaisal email account before ending their session.

2.2.3. Should a user require delegating access rights to view or send an email on his/her behalf, these rights should be granted very cautiously and to very few. The user however, will be held responsible for emails generated and sent from his account.

2.2.4. Forward suspected hoax messages to itsupport@alfaisal.edu

3. Email Account Policy for Employees Leaving Alfaisal

3.1.1. Alfaisal email account will be deactivated after ITS signing off the clearance form.

3.1.2. Employees leaving Alfaisal for good should relinquish the privilege of sending emails to secure distribution groups. HR should instruct IT Services about such matters.

4. Exemptions

Exception to or exemptions deviating from any provision of this policy must be approved by the VP for Finance & Administration or the President. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

5. Enforcement

Any employee found to have violated this policy may be subject to disciplinary action as per the University code of conduct.

6. Definitions

Definitions	
Alfaisal User	Any computer user with user identification that have access to Alfaisal(s) computer facilities in or off campus. This covers permanent and temporary Faculties, Staff, Visitors, Guests, Contractors, Vendors, or any Third parties.
Distribution Groups	Is a term sometimes used for a function of email clients where lists of email addresses are used to email everyone on the list at once
Spam	Unsolicited or undesired electronic messages

Definitions	
E-mail spoofing	Is a term used to describe (usually fraudulent) e-mail activity in which the sender address and other parts of the e-mail header are altered to appear as though the e-mail originated from a different source. E-mail spoofing is a technique commonly used for spam e-mail and phishing to hide the origin of an e-mail message

Policy Purpose
This document describes Alfaisal policy regarding the email usage. Which covers acceptable use of emails, broadcasting, email safety, archiving and storage capacity of the mailboxes. Effective use of this policy depends on the University's ability to use it prudently.

Policy Scope
Access to the University's email service is limited to Alfaisal employees and students or individuals who have been designated to perform this function by The president office ,the Provost, VPs, Deans, Department Heads or the IT Director.

IT Code of Conduct Policy -IT003

Policy Code
IT003
Department/Office
IT Services
Version
01

Definition

Code of conduct is a set of rules outlined to protect and safeguard the interests of the university. Is an agreed set of principles, proper practices, values, standards, or rules of behavior that guide the decisions, procedures and systems the university in a way that

a. Contributes to the welfare of its key stakeholders.
b. Respects the rights of all constituents affected by its operations.
c. Network security, data integrity and availability of resources.

1. Policy

Securing and protecting these significant and costly resources from misuse or malicious activity is the responsibility of those who manage systems as well as those who use them. Effective security is a team effort involving the participation and support of every member of the University who accesses and uses Information Technology.

Personal use of the computers, e-mail and web access is permitted provided that it does not disrupt the business or other Users. Also when using Alfaisal computer for personal use, user must comply with Alfaisal information security and the regulations. The user is expected not to hamper Alfaisal operation of computing services, whether deliberate, direct or indirect, burden the University with noticeable incremental cost, violate other University regulations or laws; it is important that the user behave sensibly when using all Alfaisal IT facilities. No commercial work on Alfaisal computing facilities is permitted without prior authorization.

1.1 General Code of Conduct Statements

1.1.1. When using Alfaisal IT facilities the user must comply with Alfaisal Security and Information Systems Privacy Policy.

1.1.2. User must not disclose to others her/his login name/password combination(s) or access or attempt to access IT facilities at Alfaisal or elsewhere for which permission has not been granted or facilitate such unauthorized access by others.

1.1.3. User must not use or produce materials or resources to facilitate unauthorized corruption, changes, malfunction or access to any IT facilities at Alfaisal or elsewhere. Attempted access to IT facilities includes scanning activities (e.g. port scanning).

1.1.4. User should not display, store, receive or transmit images or text which could be considered offensive e.g. material of pornographic, racist, threatening, defamatory or of a terrorist nature or likely to bring the University into disrepute.

1.1.5. Respect the copyright of all material and software made available by Alfaisal and third parties and not use, download, copy, store or supply copyright materials including software and retrieved data other than with the permission of the Copyright holder or under the terms of the license held by Alfaisal (Refer to Software Licensing Policy).

1.1.6. Proper care is expected of the equipment entrusted in your care. You will be responsible for any damage caused to the equipment.

1.1.7. Whilst Alfaisal takes appropriate security measures against unauthorized access to, alteration, disclosure, destruction or accidental loss of data, it cannot and does not give any warranties or undertakings to the user about security, confidentiality or integrity of data, personal or other. The same applies to other IT material submitted to or processed on facilities provided or managed by Alfaisal or otherwise deposited at or left on its premises.

1.1.8. These conditions apply to non-Alfaisal owned equipment e.g. personal Laptops, home PCs when connected to Alfaisal network, directly and/or via the VPN, for the duration that the equipment is using the Alfaisal network.

1.1.9. Because electronic information is volatile and easily reproduced, respect for the work and personal expression of others is especially critical in computer environments. Violations of authorial integrity, including plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations are grounds for sanctions.

1.1.10. Computer users must respect the privacy of others by refraining from inspecting, broadcasting, or modifying data files without the consent of the individual or individuals involved.

1.1.11. University users of e-mail or other electronic communications shall not employ a false identity. Nor may e-mail be sent anonymously with the intent to deceive.

1.1.12. University computing services shall not be used for purposes that could cause or reasonably be expected to cause, directly or indirectly, excessive strain on any computing facilities, or unwarranted or unsolicited interference with other’s use of computing services.

1.1.13. Accessing or promoting the access of OBSCENE Internet or World Wide Web Sites, including forwarding links to such sites, is strictly forbidden and grounds for strict disciplinary action (see below under Enforcement).

1.1.14. Before direct posting of any materials on the university portal, the end-user is solely responsible to ensure full compliance with the University's ethical code of conduct and adherence to relevant processes and guidelines.

1.1.15. Alfaisal computing services may not be used to harass any individual. Sending obscene, threatening or improper messages to another individual is grounds for strict disciplinary procedures.

1.1.16. Alfaisal computing systems and services should be used in a lawful and respectful manner following University codes of conduct and applicable laws of the Kingdom of Saudi Arabia (KSA).

1.2. General Code of Conduct Guidelines

1.2.1 Academic and Professional Ethics: Users must apply standards of normal academic and professional ethics and considerate conduct in the use of all Alfaisal computing systems and services or any other computer system accessed by virtue of their affiliation with Alfaisal. Users agree to and are bound by these and all other applicable rules and regulations, including the student code of conduct and laws of KSA.

1.2.2. Identification and Authorization: Users of Alfaisal computing services must be identified either through the physical location of an office computer or through an authorized Alfaisal computer account in case of multiple user systems. Students may not access or use another person's computer account or allow another person to use his/her account. Users should logout of shared systems and take reasonable precautions to secure access to office or lab computers. Alfaisal computing systems and services may not be used as a means of unauthorized access to computing accounts or systems inside or outside of the university's systems.

1.1.3. Personal computing devices should be patched with the latest security updates and Antivirus signatures to ensure they do not jeopardize the security of the Alfaisal network.

2. Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VP for Finance & Administration or the President. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

3. Enforcement

Failure to comply with this policy may result in loss of computing privileges and subject to disciplinary action as per the university code of conduct.

4. Definitions

Alfaisal User: Any computer user with user identification name that have access to Alfaisal's computer facilities in or off campus. This covers Faculties, Staff, Students, Visitors, Guests, Contractors, Vendors, or any Third parties.

Software Piracy: practices which involve the unauthorized copying of computer software

System Owner: The system owner is the person with the authority to designate or use special access account privileges.

University Network: The network of the University comprising the physical components such as cable, switches, telecommunications equipment, wireless access points, routers, Virtual Private Network (VPN) as well as the Internet connection. Alfaisal network also has logical components such as IP addresses, directory services, routing, and connectivity to computing resources.

Policy Purpose

This policy defines the limits for the "acceptable level of use" of the university's computing services which is provided in support of teaching, learning, research and processing administrative functions in the spirit of the "mission" of Alfaisal. The unauthorized use of computing services for personal gain or other activities not in advancement of the mission of the University is prohibited.

Therefore, every user of the University IT resources is required to know the policies and to conduct their activities within the rules of the policy.

Policy Scope

The scope of this policy covers all campus users who have or are responsible for a computer account (or any form of access that supports or requires a password) on any system at Alfaisal Campus, has access to the Alfaisal network, or stores any non-public Alfaisal information.

This policy applies to all equipment owned by Alfaisal University and to any privately owned equipment connected to the campus network and includes, but is not limited to, computer equipment, telephone equipment, software, operating systems, storage media, the campus network and the Internet.

IT Project Management Policy -IT004

Policy Code
IT004
Department/Office
IT Services
Version
01

Summary:

IT Project Management Policy is a structured approach to the way that IT projects are initiated, planned, implemented and finalised, will improve the University's ability to adapt to changing circumstances in a timely manner, whilst ensuring that fiscal responsibility is maintained and quality outcomes are achieved. Is an agreed set of principles, proper practices, values, standards, or rules of behaviour that guide the decisions, procedures and systems the university in a way that

a. Contributes to the welfare of its key stakeholders.
b. Respects the rights of all constituents affected by its operations.
c. Network security, data integrity and availability of resources.

Guiding Principles

The following principles underpin this policy:

Quality: Projects should always produce value for money, fit-for-purpose products and service solutions, delivered in a professional, efficient manner.

Timeliness: Projects should be completed on time and, when necessary, schedule adjustments should be made through a carefully considered process.

Teamwork: All project staff members should work together, share knowledge and information, and cooperate to deliver quality projects.

Consistency: Projects should be managed in a consistent fashion to maximize staff productivity and to take advantage of prior experiences.

Business Value: All projects, regardless of size or scope, should be linked to business objectives;

Communication: Projects should be managed to ensure that all parties are continually informed of progress, problems and changes to ensure support and effective participation

Flexibility: Project management practices should be structured to suit organizational needs and capacities, as well as project requirements. They should be scalable, so that reasonable practices are applied to projects of lesser scope, duration, risk and visibility.

Project Identification and Selection

- IT Projects will be classified as Major, Medium or Minor, with the classification determining the level of governance and documentation required.

- A formal IT Project Business Case must be prepared for all Major or Medium projects. This will include provision for a (fully funded) Feasibility Study as the first phase of any Major project unless the alternative solutions and costs of implementation are well understood.
- All new initiatives classified as Major or Medium will be referred to one or both of the IT Steering Committees for consideration and prioritization.
- Projects will be ranked and prioritized based on their urgency (Any project will be URGENT only in case it is affecting the core business.) and strategic value to the University, taking into account potential impacts on existing initiatives. Projects will only be fast-tracked and scheduled for action in the current year on approval from the VPFA.
- The timeline of the project will be defined based on the availability of the resources.
- Requests for Change or Enhancement to existing IT systems submitted to IT Services may also be evaluated as projects and referred to the IT Steering Committee(s) if appropriate.
- Once identified, all IT projects will be registered in the AU IT Project Database, along with a brief description of the scope of the project and other relevant details.

Project Resources and Funding

- Projects will neither be approved, nor will they commence until the sources of funds have been identified and committed.
- All IT projects must be fully costed. Project costing will cover all capital expenditure and implementation costs associated with the project, including hardware, software and service fees. Any Annual Support & Maintenance Contract (AMC) fees payable
- In the first year of operation will be included, and recurring costs over the first 5 years identified and documented.
- All internal staffing requirements (both business area and IT Services) must be identified and costed in the project budget. In the case where it is necessary to hire or back-fill, all associated costs must be fully funded.
- A minimum of an additional 25% of identified budgeted costs will be set aside for contingency funds for all IT projects.
- Cost Centre Operational budgets are to be adjusted to reflect changes to recurring costs resulting from any IT Project.

Project Governance and Control

- All IT projects will be assigned a Project Sponsor and a Project Manager. The Project Sponsor will normally be the Business Systems Owner (BSO).
- A Project Steering Group must be established for all Major projects, with the Project Sponsor as Chairperson, and senior User and IT Services representatives.
- The IT Services Executive team will act as the Project Steering Group in cases where a separate body is not established for an IT Project.
- Project Managers will report to the Project Steering Group on a regular basis with the frequency of meetings and reporting determined by the Steering Group.
- Project Managers assigned to Major projects must have appropriate training and experience.
- A formal process for managing changes to scope, budget or schedule must be implemented for all Major and Medium projects.
- Major projects will be reviewed by the Project Steering Group at each significant stage, to determine whether the project should continue to the next stage or be closed down.
- The selection of the technology to achieve the business requirement is sole responsibility of the IT Steering Committee.

Project Definition and Planning

- All projects must have goals, scope and requirements clearly defined prior to commencement.

- For all Major and Medium projects, detailed Functional and Technical specifications must be documented and signed off by the Project Sponsor and the IT Director, IT Services or designate. (Upon signing the Functional Scope the requirements will be considered final and any change will be considered a separate project.
- A Project Initiation Document must be produced for all Major and Medium projects, and will be approved by the Project Steering Group prior to the commencement of the implementation phase.
- A resource plan must be developed for all Major and Medium projects, clearly identifying all University and external human resources (by skill type and level) required for the project. Periods required and FTE commitment levels should be identified relative to project start date.
- A Risk register must be created at the start of all Major projects, with potential risks identified along with strategies to manage those risks.
- A formal Communications Plan, covering all stakeholders, must be produced for all Major projects.
- A Change Management Plan (including but not limited to training) must be developed for all Major and Medium projects. For Major projects, this may involve the use of external expertise. Training plans and business process training will normally be the responsibility of the Business System Owner.

Project Closure

All Major projects will be formally handed over to functional and IT Services operations groups, ensuring that adequate training and documentation has been provided prior to the event.

A Post Implementation Review will be conducted for all Major projects 3-6 months after the new system or modifications are moved into production.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VP for Finance & Administration. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Failure to comply with this policy may result in the loss of computing privileges and subject to disciplinary action as per the university code of conduct.

Responsibilities

Requestor: with assistance from IT Services, the Requestor is responsible for the development of the IT Project Business Case and for submitting a formal IT Project Request.

Cost Centre Manager: is responsible for approving the IT Project Request prior to submission.

IT Steering Committees: are responsible for the ranking and prioritization of all Major and Medium projects based on their urgency and strategic value to the University.

The Project Manager: is responsible for the day to day running of a project. This includes planning, delegating, monitoring and control of all aspects of the project, and the motivation of those involved, to achieve the project objectives within the expected performance targets for time, cost, quality, scope, benefits and risks.

The Project Management Office (PMO): is responsible for assisting project managers by providing a framework for managing IT projects within the University (including templates and tools), reviewing project deliverables, offering advice and guidance, and supporting specific project activities (such as vendor management). The PMO is also responsible for monitoring and high-level reporting across the entire IT Portfolio.

Definitions

In this policy the following definitions apply:

IT Project Business Case: means the justification for an IT project which contains costs, benefits, risks and timescales, and against which continuing viability is tested.

Business System Owner (BSO): means the staff member who has responsibility for the security of the data and application component of the Information Asset and is also accountable for those aspects of the Information System.

Feasibility Studies: means the evaluation of technology and its use and may involve the selection of technical solutions and recommendations for future strategies.

IT Project: means a temporary endeavor undertaken to create a product or service that includes a significant IT component such as the implementation of a new system or substantial modifications to an existing one.

IT Program: means a set of related IT Projects and activities in order to deliver outcomes and benefits related to the University's strategic objectives. A programme is likely to have a life that spans several years.

IT Portfolio: means all the IT Programs and stand-alone IT Projects being undertaken by the University.

IT Steering Committee: means either or both IT Steering Committee for Administrative Systems and Services and/or the IT Steering Committee for Academic Systems

Project Initiation Document (PID): means a document which brings together the key information needed to start the project on a sound basis and to convey that information to all concerned with the project.

Policy Purpose
The University is committed to continuously improving the delivery of Information and Technology (IT) solutions within budget, on schedule, and in such a way to maximize the benefits realized by the University. This policy outlines a framework that promotes consistency and improved control of IT projects, thereby reducing risks and increasing project successes.

A consistent, structured approach to the way that IT projects are initiated, planned, implemented and finalized, will improve the University’s ability to adapt to changing circumstances in a timely manner, whilst ensuring that fiscal responsibility is maintained and quality outcomes are achieved.

The major goals of this policy are to:

- Improve the quality of project deliverables.
- Increase the number of projects completed on time and within budget.
- Improve control over project requests and workload.
- Enhance control over project changes and “scope creep”.
- Ensure that projects are aligned with business objectives.

Policy Scope
This policy applies to all staff and other members of the University community involved in the initiation and/or delivery of any type of IT project.

IT Support Services (ITS) Policy -IT005

Policy Code
IT005
Department/Office
IT Services
Version
01

Introduction

Alfaisal IT support is committed to ensure appropriate support for information and IT systems in its domain of ownership, telecommunications (VOIP), networking, internet, managing email accounts, PC, Hardware and Software's in an efficient & professional delivery of technical services.

General

The IT Support receives client's requests, logs and tracks those requests, and determines the best solution required to resolve the issue(s). ITS strives to ensure a consistent response to support requests, updating the end user on their request status through the portal.

The IT Support portal is the central point of contact for all technical support which are classified as:

1. Hardware and software Requests
2. Email & Network.
3. Telecommunications.
4. Audio Visual Support.
5. Peripherals
6. ELearning

Methods of Logging request

1. If the user's computer is working then users should log their request via https://eforms.alfaisal.edu/departments/32/help_desk -> Helpdesk (request generated through the portal will be given a high priority)
2. Users can log their request either by sending e-mail to itsupport@alfaisal.edu, Only in case they are no able to access the eforms.
3. By calling 7888 internal support or 215-7888 for calls from outside, for quick IT support for classrooms
4. By visiting ITS office.
5. For requests which are not attended in the prescribed time , the users can escalate the matter with the IT support supervisor via email or phone.

Working Hours

The IT support is available between 9:00 AM to 5:00 PM, Sun through Thursday, except Official off days. Regular Support outside these hours requires approval from the IT Director and this will have cost implications.

IT Support Responsibilities

- ITS will attend the calls on a first come first serve basis, only the request from the executives (i.e. President, Provost, VPs and Deans Offices) would have preference over the normal requests.
- The IT Support is expected to provide basic problem resolution to the issue, if the issue is not resolved ITS would then escalate the issue to the Vendor for the required support.
- For New email Accounts: ITS requires at least 2-3 working days to create the email accounts for new staff or faculty member.
- New Laptop, Desktop, Printer or Phone: ITS requires at least 2 working days to setup a Desktop or Laptop for the new Staff or Faculty, subject to availability in stock. Purchasing new hardware takes 6-8 weeks.
- Users are required to fill the **Hardware borrowing from** through the eforms to borrow any hardware required on a temporary basis. Borrowed hardware cannot be kept for more than 15 days (laptops etc.).
- Users are requested to acknowledge service rendered by the IT Support staff through eforms.
- ITS collects the information of each and every single ticket generated to analyze the information to effectively manage requests.

Audio Visuals

IT support provides support to the following equipment in the classrooms

1. Podium
2. Smart boards
3. Projectors
4. Multimedia (Speakers, Microphones)

- All Faculties are given training (on usage of Smart board) before the start of each semester. Only trained faculties are provided with a Podium Key where it's required.
- No white board markers or any other type of marker apart from the markers meant for the smartboard.
- Faculties shall close the projector after the end of the class.
- Faculties shall lock the podium after the class not before placing back all the voice amplification accessories.
- Faculties shall check if their USB content is ready (works with the podium computer) to be used before the class
- Replacement key for the podium will be provided upon the payment of a fine of 100 SAR
- Students will be provided the access to Smart Classrooms after the college hours and they will be responsible for any damage caused during the time they request.
- Classrooms are can be availed from 5 PM to 10:00 PM (Sunday thru Thursday) upon submitting the classroom requisition form in Moodle.

Fixing Personally-Owned Computers

At present, the IT Support only works on University-owned equipment and University-licensed (or purchased) software. That means that personally-owned peripherals (Palm Pilots, etc.) are not supported by the IT Support even if they are used for the University work.

Computer Equipment Replacement Cycle

The average replacement cycle for University owned computers is 5 years. This includes ARC, labs and systems specifically designated to individual faculty and staff.

IT Services Support Priority Levels & Response Time

ITS would follow the following matrix guidelines in prioritizing requests and will attempt to resolve the issue within the target timeframe. Actual response time could be shorter or longer depending on the volume of requests at any given point of time.

Severity	Classification	Description	Response Time*
1	Emergency	Issue of the highest importance—mission-critical systems with a direct impact on the organization (Examples: E-Mail services are not functional network outage, SIS, Telecommunications, multiple classroom computing technology users, etc.)	Immediate Response
2	Urgent	Single user or group outage that is preventing the affected user(s) from working, no workaround available. (Examples: failed hard drive, broken monitor, continuous OS lockups, etc.)	Initial Response within 30 Minutes
3	Normal	Affects fewer than five people, workarounds available. (Example: Can't check e-mail from outlook, but could use webmail, printer toner, PC sound problem, etc.).	Initial Response within 50 Minutes
4	Scheduled	No effect on productivity, or unsupported software. (Examples: new workstation installation, new equipment/software order, new hardware/software installation).	Best Effort as Time Allows
5	Requests	Nonessential scheduled work (Examples: office moves, telephone moves, equipment loaners, scheduled events).	As Time Allows

*Response Time is defined as the time between receipt of the call and the time to attend the call response time IS NOT defined as the time between the receipt of a call and problem resolution.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this policy could severely impact the operation of the institution by exposing the University to permanent loss of University data leading to loss of financial records, students' records, other records, research material. It may also expose the individual or the University to legal action.

Policy Purpose

This policy outlines the University's policy to provide quality IT support services in an efficient and timely manner. To understand the support provided by the IT Support, routing IT requests for assistance through the Portal for IT Support, would assist in providing better service, plan/develop suitable software/Hardware training(s) if required, and assessing the appropriate staffing required to handle the volume of requests.

Policy Scope

This policy applies to all users of all computer & Telephonic equipment owned, supplied, or maintained by the University IT department including servers, desktop computers, laptops, portable computers and those remote users connected to Alfaisal University Network (Servers and Network Resources).

Password Management Policy -IT006

Policy Code

IT006

Department/Office

IT Services

Introduction

Passwords are important aspect of computer security; they constitute the front line of protection for user accounts. A poorly chosen password may result in compromising the security of Alfaisal entire computer networks. As such, all Alfaisal users (faculties, staff, students, contractors, and visitors) are responsible for taking the appropriate steps, as outlined below, to select and manage their passwords.

Password Management Policy

- All users are required to change their password after the receipt of their account details from ITS.
- All users will be required to change their passwords periodically or at least every two months.
- Passwords are case sensitive.
- All user-level and system-level passwords must conform to the guidelines described below.
- In case a password is forgotten, then the user shall contact IT Services to reset the password.

Policy Guidelines

Strong Password Characteristics:

- Must be at least eight alphanumeric characters in length
- Contains Upper Case (A-Z), Lower Case (a – z) Numeric (0 – 9) & Special Characters (?, !, @, #, %, etc.)
- Should NOT be a word found in a dictionary (English or foreign).
- Should NOT have common usage word such as: Names of family, pets, friends,
- Should NOT have Birthdays and other personal information such as addresses and phone numbers.
- Should NOT be a word or number patterns like aaabbb, qwerty, zyxwvuts, 123321, abc123 etc.
- Should NOT be any of the above spelled backwards.

Protecting Passwords:

- Choose a password that is memorable.
- Try to avoid writing down passwords and under no circumstances leave a password in a place readily accessible to others.
- A user should not give password to other users. ITS will never ask for your password to complete a support query or other tasks. The only person who needs to know a user password is the user him-or-herself.
- The user should take care when entering the password to prevent others from seeing what was typed.
- Users should not enter their passwords into computers or websites unless they are sure that it is a university related system/website.
- Don't reveal a password directly or indirectly to ANYONE.
- Don't reveal a password on questionnaires or security forms.
- Don't reveal a password to co-workers while on vacation.
- If someone demands a password, refer them to this document or have them to contact IT Services
- Do not store the passwords in a file on any computer system (including PDA, Mobile phones, or similar devices) without encryption.
- If an account or password is suspected to have been compromised, change the password immediately

Exemptions

Exception to or exemptions deviating from any provision of this policy must be approved by the VP for Finance & Administration. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Any employee found to have violated this policy may be subject to disciplinary action as per the University code of conduct.

Definitions

Alfaisal User Password: Any computer user with user identification name that have access to Alfaisal computer facilities in or off campus. This covers permanent and temporary Faculties, Staff, Visitors, Guests, Contractors, Vendors, or any Third parties.

Policy Password: A password policy is a set of rules designed to enhance computer security.

Password: A password is a secret word or string of characters that is used for user authentication.

PDA: Personal Digital Assistant.

Encryption: Encryption is the process of converting computer data into a form that cannot be easily understood by unauthorized people.

User Identification Name (ID): Is the unique name you use to identify a User, it can be any sequence of characters.

Policy Purpose

This document describes the university policy regarding the campus access password(s). The policy establishes the guidelines to create environment with strong passwords management practices. This includes managing access through implementation for strong practice on selecting, using, protecting, changing, and communicating the passwords.

Policy Scope

The scope of this policy covers all Alfaisal users who have or are responsible for a computer account (or any form of access that supports or requires a password) on any system that resides or related to Alfaisal.

Printer Policy -IT007

Policy Code
IT007
Department/Office
IT Services
Version
01

Introduction

Printing remains a crucial daily task for our staff, faculty, and students. To maintain efficient operations and support our goals, we need reliable, accessible, and sustainable printing solutions. To minimize paper waste and environmental impact, we encourage the use of digital alternatives, such as QR codes, to replace traditional printed brochures. Implementing a robust print management policy will ensure long-term affordability and optimize resource utilization.

Policy

- Staff and faculty are authorized to use the MFPs (Multi-Function Printers) located throughout the campus. High-capacity MFPs are strategically placed in each block.
- Members of executive management are entitled for a printer.
- Executive secretaries are entitled to a printer based on business requirements
- MFPs are password protected and the users can either use the ID card provided or can use Alfaisal email credentials for printing and Scanning
- All draft printing should be printed in Black & White.
- To reduce color printing, a monthly page quota is assigned to each user. Exceeding this quota will result in grayscale printing for the remainder of the month. Grayscale printing is unlimited.
- The quota can be increased based on the business needs and upon his / her Dean's or Department head approval.
- In line with our strategic plan and resource management goals, production of printed materials will be stopped. To improve efficiency and environmental sustainability, QR codes will replace physical brochures. The Marketing Relations department will issue digital QR codes, eliminating the need for printed brochures.
- All announcements will be displayed solely on campus digital screens and should not be affixed to walls or inside elevators.

Maintenance and Repair

- All departments will share the cost associated for the Managed Printing services however the cost for the individual printers will be bear by the department.
- Printer paper requests should be directed to the **Facility department.**
- ONLY print on paper that is provided by the Facility department and the paper types supported by the printer.

Backup

IT services would provide backup printers as a replacement subject to the availability of the backup printers, in case the actual printer is under maintenance or repair.

Toner replacements

- For the Centralized printing services, IT will replace the toner when required.
- For the individual printer’s toner will be replaced immediately subject to the availability; Users are required to inform the IT Services through helpdesk once the printer displays the toner change message

Student Printing

The following statements will be used to control and monitor student printing activities.

- Student printing will be controlled via ID card.
- Students will have a printing account, and this account will be debited accordingly when printing or copying is carried out.
- Students would be given a predefined number of prints each semester. This allows printing on all Library printers. Once these have been exhausted (used-up) students may purchase additional print credits through the library.

Guidelines

- All draft printing should be printed on a gray scale (black & white).
- Color printing should be used for the final production or whenever necessary.
- The printers are to be used only for administrative, course or research work and other university related matters.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VP for Finance & Administration or the President. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this policy is a serious matter. Any violations without consent of their respective department head is subject to disciplinary action to be determined by the university management. Effectively, any violations will result in loss of computing privileges, among other university's determined sanctions. It may also expose the individual to legal action.

Policy Purpose

This document provides guidelines for using printers at Alfaisal University. To promote sustainability and digital accessibility, please use QR codes instead of physical brochures.

Policy Scope

The scope of this policy covers all printing facilities at Alfaisal Campus.

Security & Information System Privacy Policy -IT008

Policy Code

IT008

Department/Office

IT Services

Version

01

Introduction

Alfaisal IT Services is committed to ensure appropriate security for information and IT systems in its domain of ownership. Furthermore, the university recognizes its responsibility to promote security awareness among the Alfaisal community. Failure to protect the university's information technology assets leads to financial, legal, and ethical implications.

Policy

General

Adequate security shall include the following:

A. Protection of the privacy of information.
B. Protection of systems against unauthorized access.
C. Protection of information against unauthorized modification.
D. Protection against dissemination of data in any form and,
E. Protection of systems against denial of service.

University computer and network resources may be accessed or used only by authorized individuals.

The university reserves the right at its sole discretion for the following:

A. To restrict or disable any account or use of computer and network resources, and to inspect, copy, remove or alter any data, file, or system resources which may undermine authorized use in order to protect the security and integrity of computer and network resources.
B. The university reserves the right to suspend network access or computer account, as defined in this policy if user-maintained files, programs or services are believed to have been operating in violation of either law or policy.
C. To inspect or check the configuration of computer and network resources for compliance with this policy and to take appropriate actions it deems necessary to protect university computer and network resources.
D. The university can apply the provisions of this policy and the rights reserved to the university without prior notice to the user.

The university is not responsible for the content of users' personal web spaces, nor the content of programs or files that users maintain either in their personal allocated file areas on university-owned computer resources or on personally- owned computers connected to the university computer and network resources.

IT Services reserves the rights to conduct periodic scans of the university servers, computers and network resources (which include but no limited to personally-owned computers connected to the university's computer and network resources) for common security vulnerabilities, violations of policy or law.

Risk Assessment

Risk assessment is useful tool to recognize threats and vulnerabilities, the greatest risks are exposed and appropriate decisions are made regarding the risks to assume and those to mitigate through security controls.

The following factors will monitor the process to insure a successful risk assessment program:

A. Conducting a risk assessment periodically. As business processes or technologies change, periodic assessments must be conducted to analyze these changes, to account for new threats and vulnerabilities created by these changes, and to determine the effectiveness of existing controls.
B. Successful risk assessments require complete support of senior management and must be conducted by teams that include both functional experts and ITS Staff.
C. Documentation of risk assessments and resulting actions will be recorded for audit and future references.

Reporting of Security Incidents (All Users)

It is ethical responsibility of one and all to report security breaches or other security-related incidents. A critical factor of security is to address security breaches promptly.

Individuals aware of any breach of information or network security, or compromise of computer or network security safeguards, must report such situations to the IT Services Staff or the IT Director immediately.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this policy could severely impact the operation of the institution by exposing the University to permanent loss of University data leading to loss of financial records, students' records, other records, research material. It may also expose the individual or the University to legal action.

Education

All Students, Staff and Faculty members shall be trained to know about their roles in creating a secure IT environment. Building awareness of IT security is an important element in establishing an environment in which each individual feels both responsible and empowered to act in their own and the community's best interests.

Definitions

Confidentiality: Provides protection of information from either intentional or accidental attempts

to access personal or university information by unauthorized entities.

Integrity: Requires protection against either intentional or accidental attempts by unauthorized entities to alter data or modify information systems.

Availability: Availability ensures timely and reliable access to and use of data and information technology resources to carry on the mission of the university.

Risk: A source of danger; a possibility of incurring loss or damage. In general, risk is a composite of three factors: threats, vulnerabilities, and impact.

Risk factors: Factors used to determine the level of risk include the effect of the loss on the university's strategic missions; the extent of loss to major information systems

Security Incident: An accidental or malicious act that exercises a vulnerability resulting in the potential of a negative impact.

Security: The state of being free from unacceptable risk. IT security focuses on reducing the risk of computing systems, communications systems, and information being misused, destroyed, or modified, or for information to be disclosed inappropriately either by intent or accident.

Threats: Actions or events that potentially compromise the confidentiality, integrity, availability, or authorized use. These threats may be human or non-human, natural, accidental, or deliberate. Examples:

- Acts of malice by individuals or groups; purposeful or malicious use of information or information systems.
- Natural or physical disasters such as fire, flood, hardware failures.
- Unintentional oversight, action, or inaction; data left open to unauthorized access; accidental deletion of data files; inadequate data backup procedures.

Vulnerabilities: In computer security, vulnerability is a weakness which allows an attacker to reduce a system's assurance. Vulnerability is the intersection of three elements: a system susceptibility or flaw, attacker access to the flaw, and attacker capability to exploit the flaw. To be vulnerable, an attacker must have at least one applicable tool or technique that can connect to a system weakness. In this frame, vulnerability is also known as the attack surface.

Examples:

- Software or hardware that allows unauthorized access to information systems.
- Business practices such as collecting and storing personal information that could, if revealed, be damaging to individuals.
- Personal practices or procedures such as improperly protecting one's password or providing inadequate physical environments for IT systems.

Policy Purpose
This document outlines the university's policy for use and the requirements for adequate security for the university computers and network resources & safeguarding the confidentiality, integrity, availability and authorized Usage of the information systems.

Policy Scope
This policy applies to all users of the computer equipment owned, supplied or maintained by the university including servers, desktop computers, laptops, portable computers and those remote users connected to Alfaisal university network (servers and network resources).

User ID Guest and Guest Accounts Management Policy -IT009

Policy Code
IT009
Department/Office
IT Services

Introduction

User ID(s) are important aspect of computer security; they constitute the front line identification for user accounts.

ID Management Policy

All Alfaisal users with access to Alfaisal computer resources must have a unique user identification (user ID) assigned by the IT Services.

ID Policy Statements

- All authorized users shall be assigned unique user identification for access to Alfaisal network resources and information systems.
- User ID(s) must be used only by the assigned user.
- Assigned user ID shall not be used as personal user identifications outside of Alfaisal network systems (e.g., non-Alfaisal websites, Internet, Yahoo, AOL, etc.).
- In certain operational needs and circumstances, a unique ID may be assigned for a group of users or a specific job. However adequate approvals and management controls are required to maintain accountability.
- Employee User ID(s) must only be issued after IT Services receives a properly authorized request from HR (which includes Employee ID, Full Name, Designation, Department,), indicating type of access desired.
- Student User ID(s) must only be issued after IT Services receives a properly authorized request from Student Affairs (which includes Student ID, Full Name and the college to which he/she belongs).
- User ID must be immediately disabled when the user employment is terminated or the user transfers to a position where access is no longer required or the user is on extended leave where access is no longer required. This is done with written notification from HR or the user’s immediate supervisor or manager.
- User(s) ID must be updated within a month after a user(s) legal name changes. The user must notify the HR when legal name change is to go into effect.
- Account will be locked for 1 hour after 6 bad attempts (wrong passwords).

Email and Login ID Naming Conventions

User IDs are created based on the standard Alfaisal format i.e. the first character of the user(s) first name, followed by the surname across all platforms to ensure uniformity. Duplicate user IDs are resolved by using additional letters of the user(s) first or middle name. Any User ID created prior to the effective date of this policy does not need to adhere to the standard format.
Alias: to uniquely identify a user within Alfaisal, e.g. itservices
Domain name: to uniquely identify an organization on the internet, e.g. Alfaisal.edu

Guest ID

What is a Guest Account?

An Alfaisal Guest Account is a temporary short-term login ID access account which can be issued to the Adjunct and contractors.

Guest ID Policy Statement

A. All guest accounts shall be coordinated through a sponsor. The sponsor must:
   - Adhere HR approval
   - Have some relationship with the guest.
   - Responsible for his/her act while using the university resources.
   - The guest themselves or temporary staff / faculty cannot sponsor a guest.

B. Guest Account Categories:

- By default, the guest's accounts are grouped in special group with access to Alfaisal email and internet only. Additional access can be granted on official request from the HR with justification and due authorization.
- Categories of sponsored guests can be:
  1. Visiting members of BoT, adjunct faculties, temporary staff, or researchers.
  2. Approved vendors, consultants and contractors on specific projects or invited to demonstrate a product. However, vendors already on campus are not automatically eligible for guest account.
  3. Delegate presenting for Alfaisal' s sponsored conference (audience are not eligible).

Display Name

The display name is the name used to identify the owner of an email address and usually comprises of the first and last names. The display name appears in email address lists and in the "From", "To", "CC", or "BCC" fields of an email message.

When a user sends an internal message, the display name appears instead of the email address. If the email message is sent outside Alfaisal, the display name appears before the email address.

Exemptions

Exception to or exemptions deviating from any provision of this policy must be approved by the VP for Finance & Administration. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Any employee found to have violated this policy may be subject to disciplinary action as per the University code of conduct.

Definitions

Alfaisal User Information: Any computer user with user identification name that have access to Alfaisal(s) computer facilities in or off campus. This covers permanent and temporary Faculties, Staff, Visitors, Guests, Contractors, Vendors, or any Third parties.

Information System: Academic and Administrative applications at Alfaisal (e.g., Moodle, Banner, ERP etc.).

User Identification Name (ID): A unique name used to identify a user to access computer resources. It can be any sequence of characters.

Policy Purpose

This document describes Alfaisal university policy regarding the login name (User ID) and Guest account(s). The policy establishes the guidelines to create environment with robust ID management practices. This includes assigning the user IDs and managing access through implementation for strong practice on selecting, using, protecting, changing, and communicating the ID(s).

Policy Scope

The scope of this policy covers all Alfaisal user(s) & Alfaisal Guest(s) account holders who have or are responsible for a computer account on any system that resides or related to Alfaisal.

Web Services Policy -IT010

Policy Code

IT010

Introduction

This policy defines the on-campus and off-campus access for information systems, news, and events related to the Alfaisal university. Alfaisal is committed to ensure availability to the information systems in its domain of ownership. Furthermore, the university recognizes its responsibility to provision access to these critical information systems to Alfaisal users accessing it from any part of the world.

Policy

General

This policy covers students, faculty and staff at Alfaisal university. This policy compliments Alfaisal code of conduct and security & information system privacy policy. Alfaisal portal provides access to a variety of university information services and resources. Portal accounts are created automatically for users in the Alfaisal Community, both on and off-campus. Accounts are created and administered by Alfaisal IT Services.

User Access

- University portal and network resources may be accessed or used only by authorized individuals. Different groups of users will have different levels of access
- Access to applications within the portal are either authenticated from the Active Directory or by the application itself.
- The university reserves the right to suspend portal access or computer account, as defined in this policy if user-maintained files, programs or services are believed to have been operating in violation of either law or policy.
- The university can apply the provisions of this policy and the rights reserved to the university without prior notice to the user.

Calendaring

There could be a number of calendars operating within the Alfaisal portal; each user/group will have a set of calendars. Personal calendars will be managed by the users themselves whereas the management of all other calendars would be designated by their respective business unit head's. Calendar owners can post events on their calendar knowing that the targeted users would be able to see.

Group Management & Storage

Alfaisal permits the formation of groups or associations (e.g. sports club, linguistic group). Each group can have its own site in the intranet portal, calendar, message board, access links, posted articles, and photographs. Groups can be either public or restricted. Groups and group categories are listed under the respective business units.

- All groups must observe the relevant acceptable usage i.e. the code of conduct policy.
- The head of each business unit will appoint a power user.
- Requests for group creation via an eform must be submitted to IT Services,

Targeted Announcements

Alfaisal portal provides variety of ways in which announcements can be broadcasted to a specific audience. Those wishing to use the portal for communication purposes should select the most appropriate alternative, which is the one which is most highly targeted to those who wish or need to receive the communication.

1. The marketing and public relations department will use the home page of the Alfaisal Portal, and a news channel on the welcome page of Alfaisal, as places to post news of general interest.
2. Global Alerts will be used for important, time-critical information which has a major impact for the whole campus. Examples might include a security emergency, cancellation of classes because of weather, or the loss of an important technology service such as email. It is expected that the channel will only be used occasionally. The University will use other ways to communicate alert information in addition to Alfaisal portal alerts. The portal administrator would manage the global alerts on the Alfaisal portal.

Document Library Management**

The Alfaisal Portal Document Library provides the provision for the users to save their office documents and can accessible those documents from anywhere through internet. Serving as a central repository for the documents , The total storage space allocated to each user is 2 GB which can be increased based on the business requirements and availability.

Learning Management System(LMS)

Learning Management System compliments classroom learning. Moodle is Alfaisal University's supported LMS. Moodle resources are available to all Alfaisal university faculty, students and staff.

- Moodle accounts are available for all faculty, students and staff at Alfaisal university. faculty, staff and student accounts are automatically created in the Moodle once their email addresses are created by the ITS. Faculty & staff accounts will be confirmed by the Human resources and student accounts by the Student affairs.
- Student, faculty, or staff member at Alfaisal university can request a course if it is related to official college business. This does include clubs, committees, groups, etc. Courses will not be created for non-Alfaisal University users.
- The Moodle administrator will process course requests as received from Student Affairs. Courses would generally be created within 48 hours
- Courses are moved to a Moodle Archive section at the end of each semester. Course data will be stored for the last Academic year and then deleted.
- Course Faculties are responsible for granting guest access to their course(s) if they choose to. Faculties are also responsible for deciding what additional Faculties, Teaching Assistants, and Librarians shall get access to their course. Students enroll automatically to the courses based on their SIS registration

- Users are responsible for managing their Moodle data. Some examples of Student Moodle data are uploaded assignments, forum posts, Wiki posts, etc. Some examples of Faculty Moodle data are course readings, course quiz questions, course grades, links to websites, etc. If users wish to keep the data for more than the semester they should download the content to their computer.
- The Moodle admin will provide documentation to course facilitators on how to back up course data (Can be accessible through the IT Guidelines). If data needs to be restored, the Moodle Administrator would handle the restoration.
- Students and faculty using Moodle should ensure that anything uploaded to Moodle does not violate copyright laws (refer to code of conduct and security & Information Privacy Policy).
- IT Services (ITS) would terminate accounts as directed by Human resources (for faculty/staff) and the Student affairs (for students). If a course facilitator's account is terminated, the concerned business unit shall nominate the new assigned facilitator. Termination of an account also removes associated course user data.
- The Moodle Administrator would watch for and review new releases of Moodle and will maintain a list of requests from faculty, students and staff. Upgrades and plugins will initially be loaded into a test environment where they will be tested. Once an enhancement is deemed acceptable for the production environment, ITS will load into the live instance of Moodle. ITS will document the change in the Moodle log and will notify the appropriate constituents that the change has been made**.**

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this policy could severely impact the operation of the institution by exposing the university to permanent loss of university data leading to loss of financial records, Students' records, other records, research material. It may also expose the individual or the University to legal action.

Education

All students, staff and faculty members shall be trained (on going) to know about their roles in the portal and LMS(Moodle). Building awareness is an important element in establishing an environment in which each individual feels both responsible and empowered to act in their own and the university’s best interests.

Definitions

Learning management systems (LMS): Is a software for the administration, documentation, tracking, and reporting of training programs, classroom and online events, e-learning programs, and training content.

Portlets: Are pluggable user interface software components that are managed and displayed in a web portal. Some examples of portlet applications are email, weather reports, discussion forums, and news. Portlet standards are intended to enable software developers to create portlets that can be plugged in to any portal supporting the standards.

Web Part Also called a Web Widget, is an ASP.NET server control which is added to a web part zone on web part pages by users at run time. The controls enable end users to modify the content, appearance, and behavior of Web pages directly from a browser. It can be put into certain places in a web page by end users.

Web parts are equivalent to p, but don't necessarily require a web portal such as SharePoint to host them.

Sharable Content Object Reference Model (SCORM): Is a collection of standards and specifications for web-based e-learning. It defines communications between client side content and a host system called the run-time environment, which is commonly supported by a learning management system. SCORM also defines how content may be packaged into a transferable ZIP file called "Package Interchange Format".

Web 2.0: The term Web 2.0 is commonly associated with web applications that facilitate interactive systemic biases, interoperability, user-centered design and developing the World Wide Web. A Web 2.0 site allows users to interact and collaborate with each other in a social media dialogue as consumers of user- generated content in a virtual community, in contrast to websites where users (prosumers) are limited to the active viewing of content that they created and controlled. Examples of Web 2.0 include social networking sites, blogs, wikis, video sharing sites, hosted services, web applications, mashups and folksonomies.

*Storage capacity is subject to be changed based on the availability and requirements.
** Users are advised to keep a copy of the documents saved on Alfaisal portal, ITS is in the process of procuring comprehensive backup solution especially for the portal.

Policy Purpose
This document outlines the university's policy for use, access and availability of the portal and the requirements for adequate security for the all university portal (web based applications) safeguarding the confidentiality, integrity, availability and authorized usage of the information systems accessed through the portal.

Policy Scope
This policy applies to all the web based applications hosted at Alfaisal Campus or outside owned, supplied or maintained by the university including its servers, desktop computers, laptops, portable computers and those remote users connected to Alfaisal university network (servers and network resources).

Computer Issuance Policy -IT011

Policy Code
IT011
Department/Office
IT Services
Approval Date
Sun, 10/18/2020 - 12:00
Version
02

Overview

Alfaisal IT Services is committed to provide proper hardware solution for fulltime Alfaisal employee. This policy addresses the need by some staff members to have mobile computing (laptop) instead of a desktop Computer. A decision to provide a standard laptop will be based upon a documented need, departmental approval, and available funding.

Policy

- Computers (laptop/desktop/PDAs/handheld) are issued only to employees in a full-time position. For various reasons, including budgetary ones, it is not possible for the university to provide laptops to all employees.
- Persons not directly employed by the Alfaisal including, but not limited to, students, volunteers, retired employees, employees hired on a per diem basis or consultants, or employees on extended leave or with an employment status of 'inactive" shall not be eligible for the issuance of any computing device.
- Employees by default are issued a standard desktop computer, based on the job related duties and responsibilities. Desktops are generally more powerful than laptops.
- Employees are eligible to have only single unit (Desktop / Laptop) only based on their eligibility. Executives (grade 14 and above) are eligible to have multiple units.

Criteria for laptop eligibility

Eligible employees to receive ITS defined standard laptop computers must fulfill one of the following criteria:

Must be a member of executive management (group 14 and above).

An employee receiving approval from their manager and meeting one or more of the following criteria: Significant time (average of 50% or more) spent outside the office at
the request of the university. Their jobs require constant accessibility. Use of a specialized software. Frequent travelling (on and off campus. Perform field related activities (Exhibitions, Road shows, school visits, IT support etc.). Meet criteria of security policy and departmental approvals (IT Director or business unit head for staff and Deans of respective college for the faculty).

The policy also recognizes the need for some shared departmental laptops.

Responsibility

Users are expected to take precautions to ensure that laptops & Desktop are not stolen, lost, or damaged. If laptop or desktop is lost, stolen, or otherwise damaged such that they cannot be restored to normal working order, the employee may be responsible for the prorated cost of the laptop or desktop (first year or less: 100%; second year or less, 70%; third year or less, 40%; Above 3 years, 25%). In case of theft or loss within the campus, the user must file a report with the university Security Department if stolen outside the campus user must file a report with the police and should provide a copy of the police report to the IT Services within 48 hours of the discovery of the loss.

Replacement

- The life of a computer (Desktop / Laptop) is 3 years, employee is eligible to get the replacement of the computer only after the completion of 3 years.
- Prior to 3 years computer can be replaced only in case having a technical issues and recommended by the IT technical team

Maintenance and Repair

The College/department will pay for the repairs and maintenance of the computer for the first three years. If the repair is expensive and the computer is more than three years old, the College/department may choose to replace it with a new one, rather than repairing the computer.

Use by Others:

University-owned computers, either desktop or laptop, should not be used regularly by other people (e.g., family members), and should not be loaded with software that is unrelated to the users professional work.

Equipment return

Computers must be returned to IT Services if requested or if employment is terminated. No Computer (Desktop / Laptop) will be upgraded or replaced unless the original equipment is returned.

Support

ITS supports university owned standard computers (laptops/desktops) only.

Exemptions

Exception to or exemptions deviating from any provision of this policy must be approved by the VP for Finance & Administration or the President. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT

Enforcement

Non-compliance with this copyright policy is a serious matter. Such violation is without Alfaisal consent and is subject to disciplinary action that may be determined by the university management. Effectively, any violations will result in loss of computing privileges, among other university determined sanctions. It may also expose the individual or the university to legal action.

Policy Purpose

The primary objective of this policy is that the university gains the benefits from the practices of correct use of laptops & desktop computers provided to the users with guidelines on computer use, security and safe storage.

Policy Scope

This policy applies to computers/laptops/PDAs/handheld equipment procured or to be procured, owned, supplied or maintained by IT Services.

IT Procurement Policy -IT012

Policy Code

IT012

Department/Office

IT Services

Approval Date

Sun, 10/18/2020 - 12:00

Version

02

Introduction

Purchases of technology related items for Alfaisal including software(s), computer hardware, peripherals that interface with computers, software and audio-visual equipment, regardless of funding source, are to be ordered through IT Services (ITS).

Policy

- All IT related purchases are required to be routed through ITS only.
- All ITS purchases are to be made from the approved vendors only for the products) to be procured. No technology related purchases are not made from individuals.
- Vendors are periodically reviewed; it is the policy of the university to periodically review performance of the suppliers (technology) in terms of cost, service(s) and reliability. Performance reviews will be conducted annually by ITS along with representatives from other business units of the university.
- ITS have defined hardware standards for laptops, desktops, servers, peripherals and audio-visual equipment. These standards are re-evaluated periodically based on university requirements, vendor offerings, cost, reliability, support, quality and timeliness of vendor support. If a hardware component is not listed as a current standard, it is considered to be non-standard. Requests for non-standard hardware must be approved by the Dean or department head and the ITS.
- Non-standard hardware will not be supported by IT Services. Before purchasing non- standard hardware, the requester must mention the source of support for the hardware being purchased.
- ITS will maintain inventory of all hardware/ procured only through ITS (desktop computers, printers, laptop computers, servers, as well as AV equipment). ITS will provide support services for equipment listed in this inventory only.
- ITS will include equipment maintenance contracts (support) in all of the purchases. Should individual departments prefer to purchase hardware manufactured by unknown vendors or vendors not from the list of approved suppliers, ITS will evaluate the items on a case-by-case basis and may reject the requests. If so, an alternative equipment solution will be provided to meet the user requirements.
- All payments for the equipment procured will made as per the rules defined by the Finance department.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this copyright policy is a serious matter. Such violation is without Alfaisal consent and is subject to disciplinary action to be determined by the university management. Effectively, any violations will result in loss of computing privileges, among other university determined sanctions. It may also expose the individual or the university to legal action.

Definitions

P.O.C: A proof of concept or a proof of principle is realization of a certain method to demonstrate its feasibility, or a demonstration in principle, whose purpose is to verify that some concept or theory is probably capable of being useful. A proof- of-concept may or may not be complete, and is usually small and incomplete

SLA (Contracts): A service level agreement (SLA) is a part of a service contract where the level of service is formally defined. In practice, the term SLA is sometimes used to refer to the contracted delivery time (of the service) or performance.

Policy Purpose

The principal objective of this policy is that the university gains benefits from the practice of purchasing all IT related equipment according to agreed-upon standards. This policy could benefit the university in the following ways:

a. Compliance with Alfaisal security & information systems privacy policy;
b. Volume purchasing could fetch better pricing (academic pricing if applicable) for all computer software and hardware supplies;
c. Faster processing of requests;
d. Less administrative overhead;
e. Standardization & compatibility which insures compatibility between other hardware at the university;
f. To insure collaboration and integration with the applications and services;
g. Staffing competences, ITS could provide assistance in terms of training with technologies purchased; &
h. Less costly maintenance & better after sales support (SLA's).

Policy Scope

This policy applies to Software(s), Computer/ Communication Hardware equipment procured or to be procured, owned, supplied or maintained by ITS.

Local Admin Privilege Policy -IT013

Policy Code

IT013

Department/Office

IT Services

Approval Date

Sun, 10/18/2020 - 12:00

Version

02

Introduction

Almost on all computer operating systems, the local Administrator, sometimes referred as a super user, power user or root user is a special user account used for system administration. Non administrative privileges or a normal user account makes an operating system more resistant to viruses and other malware.

Policy

- By default, a user does not have administrator privileges.
- IT Services staff will always be granted administrator rights on all systems for which they have administrative responsibilities. They will, however, be required to use these privileges only when undertaking system administration tasks.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Evidence of non-compliance with this policy will result in administrator rights being revoked

A user's administrative privileges may be revoked for the following reasons:

1. User no longer requires administrative privileges.
2. User no longer operates applications or software that require administrative privileges.
3. User is not in compliance with the University code of conduct.
4. User is involved in a data or security or breach of any form that is related to his having administrative privileges.
5. User is involved in unsafe computing practices while using administrative privileges.
6. When IT Services determines that the user no longer needs administrative privileges to perform job functions.
7. A decision to withdraw user administrative privileges will be made by the IT Director based on the documentation of any of the above conditions and will be communicated to the user via email prior to implementing the withdrawal.

Definitions

Alfaisal User: Any computer user with user identification name that have access to Alfaisal(s) computer facilities in or off campus. This covers permanent and temporary Faculties, Staff, Visitors, Guests, Contractors, Vendors, or any Third parties.

Local Administrator: Sometimes referred as Power user, Root or Super user. Almost on all computer operating systems, the super user is a special user account used for system administration.

Portable computers: Subnotebook computers, Hand-held devices, palmtops, and PDA's.

Policy Purpose

This document outlines the University's policy on the assignment and usage of administrator rights on their local machine(s). The main objective of the administrator's role is to install/uninstall software(s).

Policy Scope

This policy applies to all users of all computer equipment owned, supplied or maintained by the University including servers, desktop computers, laptops and portable computers.

Phone Usage Policy -IT014

Policy Code
IT014
Department/Office
IT Services
Approval Date
Sun, 10/18/2020 - 12:00
Version
02
Alfaisal successfully installed and configured the phone sets for the employees, this includes distributing new phones, models, assigning access rights, phone services, installing and configuring technology backend. This document defines Alfaisal policy on phones usage.

Introduction

Alfaisal University provides the phone sets for the employees, This document defines Alfaisal policy on phones usage.

Campus Phone/Fax Usage Policy

General

- This policy applies to all Alfaisal staff faculty and contractors. Different business units may set their own phone policy, but it must not be less restrictive than this policy.
- Vice presidents, Deans, Directors and Head of departments will determine phone needs to manage and conduct respective business responsibilities; this may include requesting new phone set/model, extensions, access groups, faxes, national and international dialing facility and other related services.
- All requests must be submitted to the head of department for approval. Where IT Services shall be notified for implementation and support.
- Cost, compliance and monitoring of usage are the responsibility of the head of business unit where the phones & faxes are assigned
- Phones are meant for business management matters only, employees are discouraged from using the phone system for personal purposes at any circumstances.
- By default International calling facility is provided to the department heads) only.
- All staff and faculties will have nationwide / Mobile access phone by default.

  By default all the facilities i.e. Labs, classrooms will have the internal (In-Campus) calling facilities only. Local calls facility can be provided based on the department head and VPFA approval.

  In case any staff or faculty require an International calling facility the request need to be approved by head of the department as well as VPFA.

  Transferring of the office phone to the Mobile requires approval from department head and VPFA.

- Extended model sets are only for the Executives and departments head.
- Standard model is for all staff and faculties.
- Basic model is for the facilities i.e. labs and classrooms.

Guidelines

- Phones to be used for business management matters, employees are discouraged from using the phone system for personal purposes.
- External local calls to landline and mobile should be kept to minimum.

- Courtesy phones would be located in designated areas such as cafeterias or common areas. These phones are used to place, with permission, short campus calls
- The duration of the call received and dialed from/to each extension is logged and used for reporting purpose.

Exemptions

Exception to or exemptions deviating from any provision of this policy must be approved by the VP for Finance & Administration. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Any employee found to have violated this policy may be subject to disciplinary action as per the university code of conduct.

Policy Purpose
Main objectives of this document are:

- To ensure that all the calls from the prospects and students are answered.
- Reduce unnecessary costs.
- Facilitate compliance with local governmental and municipality regulations.

Policy Scope
This policy applies to all phones & Faxs owned and operated at Alfaisal.

Software Licensing Compliance Policy -IT015

Policy Code
IT015
Department/Office
IT Services
Approval Date
Sun, 10/18/2020 - 12:00
Version
01

Introduction

Alfaisal IT Services (ITS) is committed to ensure appropriate support for information systems in its domain of ownership in an efficient & professional manner. All software users must use the
software in accordance with the terms and conditions of the license agreement for that software.

Policy

- Users are required to conform with the terms and conditions of all license agreements for software loaded on to any application (software) owned or used by the University
- Alfaisal users are required to conform with the copyright protection rights given to owners of intellectual property. These include digital content, loading and use of licensed software.
- Software(s) must not be installed or used on any system, computer, or device owned by Alfaisal in any way that is in violation of the license agreement
- University licensed software(s) must not be installed on any university or personal computer or device without prior written approval from the IT Director.
- Software(s) installed or used on of the university owned computers in violation of its license must be uninstalled
- University licensed software installed or used on any system (university owned or personal) or device in violation of its license must be uninstalled

- The user or unit responsible for using the software and the unit responsible for the license management must ensure that they completely understand the implications of any licensing agreement before acquiring or purchasing the software.
- Sufficient records must be kept by those responsible for management of any software, to ensure licensing information is available at all times.
- Alfaisal staff, faculty and students are refrained to use university computers and devices to access, use, copy, reproduce, or make available all copyrighted content to others.
- Furthermore, in carrying out the requirements of these responsibilities, the Alfaisal IT personnel is authorized to conduct periodic internal software audits within the campus in addition to sanctioning the active monitoring and scanning of Alfaisal systems, as described in this policy.

Guidelines

- ITS helpdesk could be contacted for consultation and for assistance in software installation process.
- Software functionality, user training, and operating instruction materials for off- standards software should be requested from the software provider or its representative.
- Business units and users must inform and consult with ITS prior to the purchase of any software to ensure the University can take full advantage or utilization of any existing licenses, volume or bulk licensing and academic pricing.

Licenses Not Managed by ITS

Licensing of software owned by the University or installed on University computers and not managed by ITS is to be managed by the individual or the business unit or the college which has acquired the software shall consider the following:

I. To ensure compliance with the licensing agreement.
II. Annual maintenance and renewal of the license agreement.
III. Storing and retaining license certificates (documents).
IV. Storing and retaining the technical documentation and media

Digital Content

- Users are required to obtain appropriate permission to distribute, publish, display protected or copyrighted content which includes text, images, audios, videos, graphics and Alfaisal inbuilt computer programs) or software(s).
- Users should refrain from using university owned equipment to copy, print or display the copyrighted digital content in any form.
- Users should always use Alfaisal computing resources in accordance with the high ethical standards of the university community. Academic dishonesty (plagiarism, cheating, invasion of privacy, unauthorized access, and trade secret and copyright violations,) is a violation of Alfaisal code of conduct.

Standard Software(s)

By default, ITS will install standard software for you when setting up a computer or laptop. This includes the following:

1. Operating System *
2. Office Suite*
3. Antivirus Client
4. PDF viewer
5. Network printer

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this copyright policy is a serious matter. Such violation is without Altaisal consent and is subject to disciplinary action to be determined by the University Management. Effectively, any violations will result in loss of computing privileges, among other University determined sanctions. It may also expose the individual or the University to legal action.

*Alfaisal provides the latest Operating System and the Office suite as Alfaisal is in a Campus agreement with one of the leading vendor of the market.

Definitions

Open Source: Open source describes practices in production and development that promote access to the end product's source materials. Some consider open source a philosophy, others consider it a pragmatic methodology.

Plagiarism: the wrongful appropriation, close imitation, or purloining and publication, of another author's language, thoughts, ideas, or expressions, and the representation of them as one's own original work

Perpetual license: A perpetual license: is a license that is paid once and does not need to be renewed annually.

Policy Purpose

The primary objective of establishing this policy is to ensure that the usage of all the software applications and operating systems at Alfaisal university complies with the law. This policy outlines the licensing scheme of software licenses) at Alfaisal. Centrally managing licenses assists the university to enjoy maximum benefit of bulk or volume licenses, academic pricing and reduces the possibility of redundant purchasing of software licenses. Incorrectly licensed software could lead to legal action being taken against the University.

Policy Scope

This policy applies to the softwares) of all computer & telephonic equipment owned, supplied or maintained by the university including servers, desktop computers and laptops.

Cybersecurity Policy -IT016

Policy Code

IT016

Department/Office

IT Services

Version

01

Introduction

Alfaisal university is committed to safeguarding its information technology (IT) assets and ensuring the confidentiality, integrity, and availability of its data and systems. This cybersecurity policy establishes a framework for protecting its information systems and data from unauthorized access, use, disclosure, disruption, modification, or destruction.

Policy

Introduction/Purpose (Implied - No explicit section, but this is the overall purpose)

This policy establishes the cybersecurity framework for the University, outlining responsibilities, controls, and procedures to protect information assets and IT resources.

Risk Management

- Risk Assessment: The University will conduct periodic risk assessments to identify threats and vulnerabilities, prioritize risks, and determine appropriate mitigation strategies. These assessments will:
- Be conducted periodically, especially when business processes or technologies change.
- Require support from senior management and involve functional experts and IT staff.
- Be documented for audit and future reference.

Cybersecurity Controls and Procedures
Access Control: Access to University IT resources is restricted to authorized users only.

Data Protection:

- Sensitive and confidential data must be encrypted in transit and at rest.
- Regular data backups must be conducted and securely stored.
- Data retention and disposal must comply with legal and regulatory requirements.

Network Security:

- Firewalls, intrusion detection/prevention systems (IDS/IPS), and antivirus software must be deployed and maintained.
- Regular vulnerability assessments and penetration testing must be conducted.
- Network access must be segmented to limit exposure to critical systems.

Incident Response:

- The University will maintain a Cybersecurity Incident Response Plan.
- All security incidents must be reported immediately to the IT Security Team.
- Incident response procedures include detection, containment, eradication, recovery, and post- incident analysis.

Cybersecurity Controls: The University employs cybersecurity measures to:

- Protect data privacy.
- Prevent unauthorized system access.
- Prevent unauthorized data modification.
- Prevent unauthorized data dissemination.
- Defend systems against denial-of-service attacks.

Security Awareness and Training

Training and Awareness:

- All users must complete mandatory cybersecurity awareness training annually.
- Regular updates on emerging threats and best practices will be shared.
- Ongoing security awareness campaigns will educate users about common threats and best practices.
- Security information will be disseminated through various channels (e.g., email, newsletters, website).

Third-Party Risk Management

- Third-party service providers must comply with the University's cybersecurity standards.
- Contracts must include cybersecurity requirements and data protection clauses.

Compliance and Auditing

- Regular audits will be conducted to ensure adherence to this policy.
- Non-compliance may result in disciplinary action (e.g., termination of access, academic penalties, legal action).

Roles and Responsibilities

- Develop and maintain a comprehensive cybersecurity program.
- Provide adequate resources for cybersecurity initiatives.
- Conduct regular security assessments and risk management activities.
- Implement and enforce security controls and best practices.
- Provide cybersecurity training and awareness programs.
- Investigate and respond to security incidents.
- IT Security Team: Responsible for implementing and managing cybersecurity controls, monitoring security incidents, and responding to threats.
- Department Heads: Ensure departmental compliance with cybersecurity policies and practices.
- All Users (Faculty, Staff, and Students):
- Comply with all university cybersecurity policies and procedures.
- Use strong and unique passwords.
- Protect devices from unauthorized access.
- Report any suspicious activity or security incidents immediately.
- Use university resources responsibly and ethically.

University Rights and Non-Liability

The University reserves the right to:

- Restrict or disable accounts or access to IT resources to protect system integrity.
- Suspend accounts or access when policy or legal violations are suspected.
- Inspect and audit system configurations for compliance.
- Enforce this policy without prior notice.
- Conduct routine security scans of all connected devices to detect vulnerabilities and policy violations.

The University is not liable for personal content hosted on University resources or on personally owned devices connected to the University network.

Exemptions

Exception to or exemptions from any provision of this policy must be approved by the VPFA. Similarly, any questions about the contents of this policy, or the applicability of this policy to a particular situation should be referred to the IT Director.

Enforcement

Non-compliance with this policy could severely impact the operation of the institution by exposing the University to permanent loss of University data leading to loss of financial records, students' records, other records, research material. It may also expose the individual or the University to legal action.

Education

All Students, Staff and Faculty members shall be trained to know about their roles in creating a secure IT environment. Building awareness of IT security is an important element in establishing an environment in which each individual feels both responsible and empowered to act in their own and the community's best interests.

Definitions

Confidentiality: Provides protection of information from either intentional or accidental attempts to access personal or university information by unauthorized entities.

Integrity: Requires protection against either intentional or accidental attempts by unauthorized entities to alter data or modify information systems.

Availability: Availability ensures timely and reliable access to and use of data and information technology resources to carry on the mission of the university.

Risk: A source of danger; a possibility of incurring loss or damage. In general, risk is a composite of three factors: threats, vulnerabilities, and impact.

Risk factors Factors used to determine the level of risk include the effect of the loss on the university's strategic missions; the extent of loss to major information systems

Security incident Security An accidental or malicious act that exercises a vulnerability resulting in the potential of a negative impact. The state of being free from unacceptable risk. IT security focuses on reducing the risk of computing systems, communications systems, and information being misused, destroyed, or modified, or for information to be disclosed inappropriately either by intent or accident.

Threats: Actions or events that potentially compromise the confidentiality, integrity, availability, or authorized use. These threats may be human or non-human, natural, accidental, or deliberate. Examples:

- Acts of malice by individuals or groups; purposeful or malicious use of information or information systems.
- Natural or physical disasters such as fire, flood, hardware failures.
- Unintentional oversight, action, or inaction; data left open to unauthorized access; accidental deletion of data files; inadequate data backup procedures.

Vulnerabilities: In computer security, vulnerability is a weakness which allows an attacker to reduce a system's assurance. Vulnerability is the intersection of three elements: a system susceptibility or flaw, attacker access to the flaw, and attacker capability to exploit the flaw. To be vulnerable, an attacker must have at least one applicable tool or technique that can connect to a system weakness. In this frame, vulnerability is also known as the attack surface.

Examples:

- Software or hardware that allows unauthorized access to information systems.
- Business practices such as collecting and storing personal information that could, if revealed, be damaging to individuals.
- Personal practices or procedures such as improperly protecting one's password or providing inadequate physical environments for IT systems.

Policy Purpose
This policy establishes the cybersecurity requirements for the secure operation of Alfaisal University's information systems, ensuring the confidentiality, integrity, availability, and authorized use of digital resources. Policy Statement

- **Data Integrity**: Ensure data accuracy and completeness.
- **Data Confidentiality**: Protect the privacy and confidentiality of all university data.
- **Data Availability**: Ensure timely and reliable access to information systems and data by authorized users.
- **Accountability**: Track and log user activity to identify and address security incidents. Prevent users from denying their actions.
- **Authentication**: Verify the identity of users and devices accessing university systems.

- **Access Control**: Define and enforce roles and responsibilities related to cybersecurity.
- **Compliance**: Ensure compliance with all relevant legal, regulatory, and contractual obligations.
- **Awareness**: Promote cybersecurity awareness among all members of the university community.

Policy Scope
This Policy applies to all users accessing Alfaisal University's IT resources, including:

- **All users:** Faculty, staff, students, contractors, and third-party service providers.
- **All IT resources:** Servers, desktops, laptops, mobile devices, cloud services, network infrastructure (wired & wireless), IoT devices, and all university-owned, leased, or managed IT systems and data.
- **All access methods:** On-campus and remote access to university networks and systems.

Library

Collection Development Policy -L10001

Policy Code
L10001
Department/Office
Library
Approved By
Deans Counsil
Approval Date
Mon, 11/05/2012 - 12:00
Version
1

Introduction

Responsibility for the selection of library materials is shared between the librarians and the faculty. However, the ultimate responsibility for materials selection and the development of a strong collection rests with the University Librarian and the library staff. While faculty members are experts in their particular field, the library staff is better placed to maintain the balance of the collection across all subject areas. The establishment of effective two-way communication channels between the librarians and the faculty is essential for successful collection development.

I. Our Research Mission

The mission of the Alfaisal University Library is to serve the Alfaisal University students, faculty, staff, and the community. It is the intent of the library to provide access to the information needed to support and develop learning, teaching, and research. In support of this mission, Alfaisal University Library integrates print and electronic resources, and provides a comprehensive program of service which allows broad access to information in all formats. It is the aim of Library to develop, monitor and evaluate services to match changing information needs in higher education; to enable the user to understand and utilize effectively the full range of information services; to foster the acquisition of skills necessary for independence in lifelong learning; to maintain and develop relationships with other library services and institutions within the county and abroad; and to facilitate cooperation and collaboration.

This policy provides a framework for the underlying principles and guidelines in the selection, acquisition, evaluation, and maintenance of library resources. It also helps to communicate the Library policies concerning goals and methods to faculty, students, staff and users. As academic programs, information needs, and technology change, the libraries remain committed to meeting new information demands.

II. Balancing the Collections

Until the last decade of the twentieth century, academic library collections primarily comprised print materials. The advent of electronic resources and the rising demand for access to them has shifted the focus of library collections. However, the basic goal remains: to provide Alfaisal community with the resources it needs to pursue academic excellence. The library collection development program has always strived to provide information in the most appropriate formats. When scholarly materials are available in multiple formats, the Libraries will normally acquire the material in only one format to efficiently steward the University's resources. There are instances, however, when having resources available in more than one format allows us to make the material accessible to library users when and where they need it.

III. Access vs. Ownership

Understanding that no one library can acquire materials to satisfy all of the needs of its users, Alfaisal Library is committed to providing access to materials we do not own through resource sharing and cooperative collection development agreements with other libraries. Integrating access to resources that are not part of the Libraries' collection is a necessity and provides the university community with access to a wider range of materials than the Libraries could ever hope to provide within our materials budget. Alfaisal Library goal is to continue to integrate an approach to materials that includes a balance of traditional, locally owned materials along with access to materials that are not owned. Cost-efficient and best practice models will be incorporated into the decision-making process regarding access to information in all formats.

IV. Collection Development Guideline

The Library adheres to the guidelines below:

- Develop high quality, relevant and balanced collections to support and strengthen teaching and research.
- Implement collection management policies to build and maintain print, electronic, and media resources to support information needs of the University.
- Provide leadership in a team-based environment to plan, manage, and formulate policies, and to prioritize resources to develop balanced collections that meet new demands and evolving technologies.
- Communicate with faculty to build on existing collection strengths where those align with current research and curricular needs and to develop awareness of new and evolving areas of scholarship.
- Expand access to information through resource sharing and other cooperative agreements with libraries locally, regionally, nationally, and worldwide.
- Share with faculty how they can make a difference with new scholarly communication models.

V. General Criteria

The following criteria apply to all materials. Particular criterion may assume greater or lesser importance depending on the type of materials under consideration or the subject matter covered.

- Curriculum and research need.
- Scope and content – comprehensiveness and depth of coverage.
- Scholarly value.
- Currency and timeliness. Selection of older editions would only occur with valid reasons.
- Relevance to existing collections.
- Physical quality and/or special features.
- Availability of materials through Interlibrary Loan or document delivery.
- Inclusion in major indexing and abstracting tools or professional organization indexes.
- User-friendly search interface.
- Suitable for use on available hardware and platforms.
- Consistently reliable response time and overall technical performance.
- Cost – the purchase price as well as any on-going expense of maintaining access. Excessive cost may limit access.

- Mode of access available from the vendor (e.g., Internet, LAN, single workstation) .
- Size of the potential audience.

VI. Resources Collected

Alfaisal Library collects all manner of formats and materials which support the University's teaching and research. These materials may be physical (e.g., books, paper journals, maps, pamphlets, and music or video recordings) or digital (e.g., online access to citation and full-text databases, e-books, and spoken-word, music or moving images).

VII. Resources Not Collected

Alfaisal Library does not collect materials in certain categories. These include but are not limited to: classroom texts, large-print books, or individual software packages.

Material in outdated formats (e.g., VHS tapes, floppy disks) is generally not collected. In limited cases, notably in conjunction with faculty requests, materials are accepted or purchased which require external support not provided by the library.

VIII. Faculty Members' Role in Collection Development

Each department is asked to designate at least one faculty member to serve as the liaison to the library for that department. The department chair is asked to ensure that every year a faculty library liaison(s) is elected or appointed, as each department sees fit, preferably on a rotating basis. Each department chair is asked to notify the University Librarian of the current faculty library liaison(s) at the beginning of the Fall semester. Faculty library liaisons are expected to recommend purchases that reflect the needs of all course offerings in their subject area and to support the curriculum (on all levels) as well as the educational mission of the University. In addition, faculty library liaisons are asked to encourage the active participation by all the members of their department, college or program in the selection process. The faculty library liaisons are also asked to work closely with the library subject selector assigned to their area by sharing information about:

- Their discipline
- Student needs (e.g., course assignments, reading lists, etc.)
- Accreditation requirements
- Curriculum changes
- Perceptions of the collections' strengths and weaknesses.

In general, requests for new purchases by faculty members should be submitted to the library through the faculty library liaison(s) designated for that subject area. The faculty library liaison(s) will review these recommendations and forward approved requests to the appropriate library subject selector for additional review. Faculty suggestions for purchases can also be made via the book recommendation form available on the library's Web pages. These recommendations will be reviewed by both the faculty library liaison(s) and the library subject selector for the appropriate subject area. The University Librarian reserves the right to refuse a recommendation for budgetary reasons or failure to meet the general selection criteria.

IX. Collection Maintenance and Evaluation

A. **Preservation**

The collections of Alfaisal Library, in addition to their intellectual and aesthetic value, represent a substantial economic investment. The responsibility to build research collections carries with it the obligation to ensure that these collections are permanently accessible. The Library is committed to the retention, preservation, and long- term access of the collections they hold in perpetuity, regardless of format.

Active participation and leadership in preserving the Libraries' collections is the responsibility of Library staff. Decisions on preservation of damaged materials and replacement of lost, stolen or damaged materials are

based on use and condition of the materials, availability of the information in the same or other formats, and within the overall context of the Library's Collection Development Policy, balancing the constraints of cost, historical and aesthetic and scholarly value, and user accessibility.

Preservation of library material is accomplished through storage of materials in proper conditions, through careful handling and housing, through use of security systems designed to eliminate mutilation and theft, through commercial binding and rebinding, through commercial microfilming, through refreshment and migration of electronic files, and through repair or replacement of damaged materials. The Libraries' disaster response plan is reviewed and updated annually, and a team of library personnel is trained for disaster response and salvage.

Materials of unique aesthetic or historical value should be preserved in their original form. Where costs, deterioration, or damage prevent the preservation of materials, attempts will be made to replace items valuable to the collection in reprinted editions or alternative formats. Continuing access to electronic titles cannot be guaranteed once the format in which they are published becomes technically obsolete. However, the Libraries support and participate in digital preservation research programs in order to address this issue in the longer term.

B. **De-selection (Weeding)**

Weeding is an integral part of the collection development process. Weeding helps keep the collection up-to-date by removing older editions, so there is room for newer materials that ensure the collection remains responsive to user needs and to optimize the use of space. The following factors are generally considered in the weeding of library materials:

1. Retention
    - Past usage of data
    - Value for historical research
    - Last copy with archival value
2. Discard
    1. Multiple copies of older editions
    2. Superseded volumes of reference works
    3. Physical condition

C. **Duplicates**

Decisions to purchase multiple copies are based on heavy demand, either present or anticipated, due to class assignments, course reserves, status of a title or author, or high circulation of a title.

D. **Replacement**

1. Monographs

    Library liaisons are responsible for making decisions regarding replacement of lost, damaged, missing, or worn-out Library monographs as funds permit. It is the responsibility of the appropriate subject selector to decide, within the guidelines of this policy, whether to replace a specific monograph or purchase a comparable one, and in what format.

    Replacement is always preferred over rebinding for inexpensive in-print titles. Current editions are preferred over previous ones, unless the earlier edition has special distinguishing characteristics. It is usually desirable to replace monographs or serials in their same format; however, electronic or microform versions should be considered for extensive serial replacements.

2. Serials

    Staff will identify lost, damaged, missing, or worn-out serials and notify Acquisitions. Decisions to replace annual, biennial, and irregular serials will be handled according to criteria set forth in this policy. The following serial items will not be replaced:
    - Newspapers or newsletters unless a special need exists;
    - Titles that are not retained permanently;

- Titles that are not indexed;
- Titles routinely replaced by microfilm.

E. **Withdrawal of Materials**
An item is discarded if it is worn, mutilated, or defective, and/or a decision has been made not to retain it.

F. **Lost or Missing Materials**
An item is declared officially lost and entered into circulation records as such after it has been reported lost by a borrower or presumed lost by the library. If a lost item is returned or a missing item is located after its records have been withdrawn, a decision concerning its addition to the collection will be made by the selector within the guidelines of this policy.

G. **Gifts**
The Library welcomes donations of all types of recorded information which support the university's curricular and research programs. Gift materials, both individual items and collections, can be valuable additions to the Libraries' collections.

Because of space limitations in our libraries, we encourage donors to consult with library liaisons when planning to donate books and other printed or recorded material. Depending on the number of volumes being offered to the library, the Library may request an on-site evaluation of the collection by the appropriate subject specialist before a determination to accept can be made. Materials that are judged to be more suitable to our special collections are referred to the Libraries' Special Collections department.

All offers of gifts receive careful consideration and are evaluated in terms of the collection development goals of the Libraries (see especially sections IV-VI of this policy). Materials appropriate for the collection include: hardbound or good quality paperback scholarly monographs; music compact discs and scores; videos and DVD's. Materials that do not meet the Library's collection development goals will be disposed of through sale, exchange, donation, or discard.

Upon receipt, donated materials become the property of the Library. The decision to add gift materials to the collection will be made by subject specialists. In general gifts to which the donor has attached conditions, such as those concerning retention, housing, classification and use, will not be accepted for inclusion in the Library collection. Exceptions may be made for materials, primarily manuscripts and personal papers, which would be appropriately housed in the Library Special Collection.

With the exception of unsolicited materials, gifts to the Library will be acknowledged in writing.

Policy Purpose
The purpose of this policy is to establish a comprehensive framework for the selection, acquisition, evaluation, maintenance, and preservation of library resources at Alfaisal University Library. It aims to ensure the development of high-quality, relevant, and balanced collections that effectively support the University's teaching, learning, and research mission. Additionally, this policy promotes transparency in decision-making and clarifies the roles of library staff and faculty in building and sustaining the library collection.

Policy Scope
This policy applies to all library resources in all formats, including print, electronic, and multimedia materials, acquired or accessed by Alfaisal University Library. It governs the processes of collection development, resource selection, acquisition, access, evaluation, preservation, and de-selection. The policy is applicable to all stakeholders involved in collection development, including library staff, faculty members, faculty liaisons, and administrators. It also addresses resource sharing, cooperative agreements, and the management of both owned and externally accessed materials.

E-Resources Policy -LI0002

Policy Code
LI0002

Electronic resources are increasing in importance to faculty and students. One of our primary goals is to provide Alfaisal University users with access to information when and where they need it, regardless of where the user is located.

This policy is intended to provide guidance on subscribing to electronic-only journals and converting print subscriptions to electronic. In general, the Libraries will not purchase print and electronic versions of the same title. The following criteria have been identified to help bibliographers, subject selectors, and liaisons evaluate subscriptions for journal packages and individual titles.

Guidelines for determining acceptable e-only journals

1. Content: The online journal must contain the fully scholarly content of the print version, including table of contents, letters, editorials, book reviews, supplements, special issues, etc.
2. Timeliness: The full content of each issue should be available online no later than the publication of the print.
3. Format: The electronic journal should provide access to digitally-generated print page images, for example, PDF files or to support printer-friendly formats.
4. Image and Quality of Presentation and Display: The quality of illustrative materials (photographs, tables, figures, etc.) must be included in a legible and desktop accessible format. Journals printed in color should provide high-quality color images for the electronic version that can be printed locally. Print quality should be good (e.g., greater than 72 d.p.i.).
5. Vendor reliability: There must be a reasonable guarantee of stability of the electronic journal. Speed of loading/accessing content must meet Alfaisal University Library users' expectations. Server downtime should be minimal. Publisher or e-journal licensor should provide prompt technical support (as needed) and maintain a reliable, stable interface with performance clauses in license to compensate Alfaisal University in the event of extended downtime.
6. Archiving and Ownership: The license must provide for permanent access to the content purchased under the subscription. Publisher or e-journal licensor should hold appropriate rights for permanent online display of content. Online access via a journal aggregator should not be considered a substitute for either print or online subscription.
7. Access Management: The institutional site license must allow networked access via Internet Protocol (IP) recognition, or some improved successor authentication options, for all authorized Alfaisal University users. The license should allow e-journal access within library facilities for members of the public. There should be no proprietary hardware and/or software restrictions.
8. Pricing: Migration to electronic-only should be cost effective and take the following into consideration
    - Cost differential between online only vs. print + online
    - Cost of tiered licensing
    - Cost savings from package deals
    - Savings in binding and storage costs
9. Scholarly Sharing: The license should allow for fair use and scholarly sharing of content in accordance with the principles of fair use. It should allow for interlibrary loan, preferably using an electronic copy.
10. Classroom Use: The license should allow linking of electronic journal content to the Library's electronic reserve system or the University's course management system.
11. User Expectations and Use Statistics:
    - Consider the characteristics and usage of print title when deciding on e-only access, for example, some titles (People Weekly and Sports Illustrated) because of format and/or usage may lend them to being browsed in print
    - Publisher or e-journal licensor should provide timely, accurate and usable usage statistics, preferably COUNTER (Counting Online Usage of Networked Electronic Resources) compliant, for each e-journal under subscription.

Library Behavior Policy -LI0003

Policy Code

LI0003

Department/Office

Library

Alfaisal Library strives to maintain a welcoming, comfortable, and safe environment for all users, i.e., anyone who enters our buildings. Users of the Alfaisal Library are expected to maintain behavior that consistently respects the rights of other users to study and research within the buildings. Users are also expected to adhere to Alfaisal Library policies as well as relevant University rules and regulations. Users are encouraged to support this effort by informing other users of these policies.

Library building monitors or other staff will ask users engaging in behavior that disrupts the study and effective use of the Libraries (for example, playing music or making other loud noises) to curtail the disruptive behavior or leave the building. The Library staff reserves the right to determine what conduct constitutes "disruptive behavior." If the disruptive behavior persists, library building monitors or other staff will contact the campus security for assistance. Alfaisal Library's user behavior expectations follow.

Cell Phone

When entering any library building, please set cell phones, pagers, and other electronic devices to silent or vibrate mode. Conduct noisy cell phone conversations in designated areas or outside.

Children

Children are not allowed the Library.

Clothing

Users must wear appropriate attire for public places, including shoes, at all times when in the Alfaisal Library.

Food and Beverages

Food and beverages are not allowed in the Library with the exception of beverages that are in closed, spill-proof containers or pull-top plastic bottles.

Closing Time

In Alfaisal Library, verbal warnings are giving several times before closing: once 30 minutes before closing, twice 15 minutes before closing, three times 5 minutes before closing, and last one at closing time. Users are expected to cooperate with staff when closing time is announced and leave the building.

Library Circulation Services Policy -LI0004

Policy Code

LI0004

The main collection and Reference section are open shelf-systems. Users are encouraged to select and fetch material without the need for intervention by the Library staff. However, the Library staff will gladly provide assistance to users who are not able to access items on open shelves for themselves. Also, wherever possible, access to electronic resources is provided across networks which are normally accessible at all times.

The general collection books are normally available for long borrowing. Depending on the demand on materials for courses, some books may be restricted to short loan borrowing or may be placed in the reserve section to allow every student access to the books. Materials not available for loan are located in the Reference Section and Special Collections.

Borrowing

A photo ID must be presented for each loan transaction. Borrowing privileges will be denied if a photo ID is not presented.

What Can I Borrow and Renew?

Most Library materials circulate and may be renewed in person or through the library circulation system. Some Library materials are designated as non-circulating such as reference and certain Reserve Materials and those in Special Collection. Loan policies vary according to the following chart:-

Books			
Patron Type	**Loan Period**	**Number of Books**	**Renewals**
Alfaisal Undergraduate Student	14 days	5	1
Alfaisal Continuing Ed	14 days	5	1
Alfaisal Post-Graduate Student	30 days	5	1
Alfaisal Faculty	30 days	5	1
Alfaisal Staff	14 days	5	1

Newspapers & Magazines		
Patron Type	**Loan Period**	**Renewals**
All Users	No	No

Reserve Materials		
Patron Type	**Loan Period**	**Renewals**
Anyone with a valid University ID card	1, 2, 3,or 4 hours as specified by faculty / instructor	Yes, if no one is waiting

Audio and Video Materials		
Patron Type	**Loan Period**	**Renewals**
Alfaisal Undergraduate	Audio and Video Materials: 3 days (Limit 3 items of each format)	No
Alfaisal Continuing Ed	Audio and Video Materials: 3 days (Limit 3 items of each format)	No
Alfaisal Post-Graduate Student	Audio and Video Materials: 3 days (Limit 3 items of each format)	No
Alfaisal Faculty	Audio and Video Materials: 3 days (Limit 3 items of each format)	No
Alfaisal Staff	Audio and Video Materials: 3 days (Limit 3 items of each format)	No

The borrower is held responsible for all books issued as long as the issue record for those books remains unconcealed. Books on loan are for the personal use of the borrower only, and must not be passed on to any person, whether entitled to use the Library or not, except with the special permission of the Director of the Library. The borrower may renew a borrowed book, if another user does not require the book. Books will be renewed in person or through the Library computer system.

The Director of the Library has the authority to recall a borrowed book at any time. The book must then be returned to the Library by the date specified on the recall notice, regardless of the date stamped in the book or the one the user is notified of at the time of issue or renewal. It is the responsibility of users to ensure that they are in a position to respond promptly to recall notices.

Regulations that apply to borrowed books are as follows:

- No person can borrow a book from the Library if any fine or charge incurred has not been paid.
- Books must not be taken outside the KSA without the special permission of the Director of the Library, nor may they be taken into places where there is a risk of contamination or damage.
- For the purposes of the annual inspection, all Library books must be returned to the Library before the end of each term at a date (of which at least a week's notice will be given) to be announced by the Director of the Library. The borrowing of books is suspended during the inspection period but is resumed not later than 2-4 weeks after the beginning of the inspection. This process usually occurs during summer break.

The Director of the Library has the authority to vary the borrowing period or withhold or restrict the circulation of any book in the Library.

Fines

Fines are charged at rates determined from time to time by the Alfaisal Library Review Committee. Current rates are always posted and published.

Fines are levied for the late return of items, in accordance with notices displayed in the Library. Borrowers who fail to return books may be invoiced for the accumulated fines, the cost of replacement, and an administration charge, and their borrowing rights may be suspended. The Library may also levy charges for document supply, photocopying and access to some electronic databases. The Director of the Library in consultation with the Alfaisal Library Committee is responsible for setting these charges. Failure to pay a fine imposed for late return results in the suspension of the Library privileges.

Library Code of Conduct -LI0005

Policy Code

LI0005

Introduction

The Library strives to provide the following services for its authorized users:

1. Access to library materials or an ability to recall them according to library policy
2. Journals, documents and books that are complete and unmarked
3. Surroundings and library collections free from the problems caused by food, beverages, and other damaging substances
4. Library environment suitable for reading, study and activities in support of campus research and instructional programs.

Prohibited Behaviors

Certain behaviors, detailed below, are in conflict with these goals.

Use and protection of the Collections

1. Removing or attempting to remove library materials, equipment or property without proper checkout or other official library authorization.
2. Failing to either renew or return library materials when due.
3. Concealing library materials in the Library for the exclusive use of an individual or group.
4. Mutilating library materials by marking, underlining, removing pages or portions of pages, removing binding, removing electronic theft devices, using post-its and paper clips or in any other way damaging or defacing library materials.
5. Eating or drinking in the Library.
6. Smoking in buildings or near entrances and exits.

Use and protection of the building and library equipment

7. Being in unauthorized areas of the Library, remaining in the Library after closing or when requested to leave during emergency situations, drills or when not abiding by The Library's Conduct Policy.
8. Opening emergency exits except in emergency situations.
9. Vandalizing or defacing the Library building, furniture or equipment.
10. Maliciously accessing, altering, deleting, damaging or destroying any computer system, network computer program or data.

The Library Environment

11. Causing a disturbance or engaging in any behavior which interferes with Library activities. Proscribed behavior includes (but is not limited to) verbal abuse, threats of violence, or use of "fighting words" to harass any person.
12. Bringing an animal into the Library, unless the animal is an authorized accommodation to a person with a disability. Anytime any animal is behaving in a manner incompatible with the essential purposes of the library, the library will immediately insist that the animal exit the library.

Library fees

13. Failing to pay library fees.

Sanctions

Any patron who commits or attempts to commit any of the offenses listed above -- or any other behaviors illegal under the Library and/or the University rules and regulations -- is subject to sanctions, including:

- Being asked to leave Library premises;
- Being reported to the Student Services; and
- Being banned from entering the library.

Library Theft Policy -LI0006

Policy Code

LI0006

Alfaisal Library has a major responsibility to the university community to provide appropriate protection and some assurance of the continued availability of its scholarly resources. As part of this important mission, Alfaisal Library is strongly committed to securing its collections against theft and misuse. Mutilation, damage and/or theft of library materials or equipment are serious offenses and should be discouraged by the active prosecution of individuals attempting such acts. This is in full accord with the content and tenor of the Alfaisal rules and procedures.

Procedure

Library staff will notify Security when staff observe an individual in the act of mutilating or attempting to steal library materials, or are aware of evidence tending to show possession of uncharged and/or mutilated library materials.

Disciplinary action will be initiated according to the following procedures:

1. The individual shall be requested to identify himself/herself by current **Alfaisal** ID or other official identification.
2. If the individual refuses to cooperate, the University Security shall be called for assistance. Damaged material should be secured by the library employee. In all cases where the attempted theft or mutilation involves an individual who is not a university student, or a member of the staff or faculty, the library staff shall have the option of calling the University Security without delay.
3. The individual will be given the opportunity to record his/her account of the incident (Attachment A). In addition, the individual will be informed that he/she must contact the Library Administrative Office by 5:00 PM of the next business day (Saturday- Wednesday) to set up an interview with the Director or his/her designee.
4. The mutilated items will be given to the person in charge of the unit that has responsibility for the item(s) within 24 hours if during the week or Sunday morning if the incident occurs on a weekend. This person shall assess any damage and determine the replacement cost, recording the cost on the report form.

5. The completed report and attachments are then given to the Director or his/her designee for follow-up action.
6. In the interview with the Director or his/her designee, the individual will be given the opportunity to review and respond to the report. If damage/replacement costs are incurred, the individual will be informed of these costs and that:
    - he/she will be responsible for paying these damage/replacement costs incurred; and
    - a hold will be placed on his/her University student record and library check-out privileges will not be permitted until the damage /replacements costs incurred are paid.
7. The Director or his/her designee will make decision on whether to forward to the University office designated to discipline students.
8. The Director or his/her designee will ask Circulation to do the following if damage/replacement costs are incurred:
    - place a hold on the individual's University student record; and
    - add any cost due from the individual to the library's patron record along with the message, "attempted theft/mutilation."
9. If the individual is a university student, the final report shall be forwarded from the Director's office to the designated office in the university, with a copy being retained in the Library Administrative Office. If the individual is other than a university student, the University Attorney will be consulted on the appropriate manner in which to proceed.
10. After damage/replacement costs are paid, the payment will be recorded on the library patron record for the individual AND the library hold on the individual's University student record will be removed

Marketing and Communications Department

Marketing Communications Department Policy -MC001

Policy Code
MC001
Approved By
Head of Department Safia Dart, VP External Relations Dr Maha Al Saud
Approval Date
Mon, 07/01/2019 - 12:00
Policy Purpose
This policy enables the University to protect and enhance its marketing communications and consequently its reputation, by adopting a coordinated and consistent approach and creating a coherent, distinctive brand for its representation to external audiences.

The policy addresses the management of:

i. Brand Management
    - Brand and corporate identity, including logos
    - Design
ii. Marketing & Communications
    - Advertising
    - Social Media
    - Recruitment Events
    - Market Research
    - University Photography
    - University Website
    - Merchandise
iii. Events Management

- Ceremonies & Special Visits
- PR Protocol
- Media
- Sponsorship
- Student ambassadors & volunteers
- Film Production (Proposed New Unit)

If staff require clarification regarding any of the above terms they should contact Marketing Communications Department

Policy Scope
This policy applies to all faculty, staff, students and other individuals working on behalf of the University where University funds and resources are being used to represent it to external audiences as well as internal community.

I. Brand Management

We are extremely fortunate to have a prestigious brand that is recognised around the world. Our excellent reputation as a leading university in the Kingdom, region and the world has been built in a short space of time through faculty, staff, students and alumni, and it's our turn to nurture and develop it as one of our most precious assets.

Brand and corporate identity, including logos

Alfaisal University brand represents what Alfaisal stands for - its promise to the market - and is represented in imagery and words. Corporate (visual) identity is one element of the brand, and is the way in which the University presents itself to the public including, but not limited to, the Alfaisal Logo, market positioning, corporate colours, typefaces and other elements of visual identity.

As per the University brand guidelines there is only one logo identity for it: The Keyhole with image of Late King Faisal with the three foundations: Faith, Knowledge and performance in Arabic. This iconic image is the unifying symbol that represents all the colleges, departments and sections and should appear on all materials internal/ external on the top left hand

Individual college & department logos are identified through the three-colour strip of blue, pink and green with the concerned college and department name only.

Other logos, slogans or tag lines must not be developed or used to represent sections, units, internal departments, programs, initiatives, research centres, institutes, groups or communities that are wholly owned by the University.

Use of the Alfaisal Logo and corporate identity must follow the Brand Guidelines established and kept by Marketing & Communications Department and available on Alfaisal University website.

Students, student clubs or associations, or staff must not use the Alfaisal logo for assignments, outside work, or any other purposes not approved by Marketing Department.

All applications of the Alfaisal name, or logo, whether produced by Alfaisal students, or students' associations and third parties, must be checked for corporate identity compliance and approved by the following:

1. Head of Student Affairs
2. Head of Marketing Communications Department

Design

All design and visual production work intended for external audiences, including publications and marketing materials (printed, electronic and audio-visual/video content), must be undertaken by the production team in the Marketing Communications Department unless outsourced by the Snr Management of the University at which point the Head of Marketing Communications Department will be fully engaged with the production team.

No area of the University may engage directly with external design, marketing, merchandise or production suppliers, printers, photographers or videographers without prior approval, knowledge and engagement of the Head of Marketing Communications Department.

This also includes direct engagement with the Marketing Communications Production team.

1. Submitting eForm with with College Dean/Head of Department approval to mc@alfaisal.edu
2. Head of Marketing Communications review and assign to production team
3. Production team briefing with requestor
4. Head of Marketing Communications review of produced material
5. Requestor review/feedback
6. VP of External Relations approval/feedback
7. President Office approval (where applicable)
8. Artwork sent to requestor

All design requests must be received 2 weeks prior to requestor's deadline. In cases when there is a short deadline the following applies:

1. New submission date is approved with knowledge of requestor
2. Work is outsourced with knowledge and approval of requestor
3. Student Ambassadors assigned to task

II. Marketing & Communications

The Marketing Communications Department are fully engaged with the University, its colleges and departments for their marketing & communication needs. Services we provide fall under 5 main categories:

Advertising Campaigns

The Marketing Communications Department appoints and manages advertising agencies to provide professional advice, media and creative services for corporate branding, program marketing campaigns and other key projects. All agency briefs & in house services are managed through Marketing Dept.

It is Alfaisal policy that all advertisements paid campaigns/unpaid for by Alfaisal (for example, in conjunction with local or international partners) and carry the Alfaisal logo, are subject to approval by the Head of Marketing Communications, VP of External Relations & President. This requirement should be stipulated in any agreement negotiated with third parties.

Advertisement campaigns that are not paid for and are sponsored by a media outlet (for example, free advertising received as a sponsorship) will bear the logo of the sponsor and are subject to approval by the Head of Marketing Services, VP of External Relations & Presidents Office. Sponsor review is also taken before publishing.

Alfaisal does not permit advertising by external organisations in online and web communications.

1. Submitting eForm MCSA2 with College Dean/Head of Department approval to mc@alfaisal.edu
2. Head of Marketing Communications review and assigned to production team
3. Production team briefing with requestor
4. Head of Marketing Communications review/feedback of produced material
5. Requestor review/feedback

6. VP of External Relations approval /feedback
7. President Office approval/feedback
8. Artwork sent to requestor

All Ad campaign requests must be received 4 weeks prior to requestor's deadline. In cases when there is a short deadline the following applies:

1. New submission date is approved with knowledge of requestor
2. Work is outsourced with knowledge and approval of requestor

Social Media

Marketing Communications Department manage all official Alfaisal official social media accounts and platforms as well as the curation and moderation of content for these channels on behalf of the University.

Only official Alfaisal social media accounts and student associations & clubs may use the Alfaisal logo or branding, or purport to represent Alfaisal. Advice and approval of this use of social media is provided through Marketing Communications Department. Please send your queries to mc@alfaisal.edu

Marketing Communications Department must approve any social media account or site that seeks to represent Alfaisal as a whole or in part. This includes any account or site that is established for promotional purposes, including (but not limited to) promoting Alfaisal initiatives, research or events. Any account that doesn't adhere to the brand regulations will be referred to the respective Snr Management for action.

Departments & college staff and students clubs & association on social media platforms are expected to conduct themselves in accordance with the University's Social Media - Managerial Policy, and other relevant policies and procedures. Social media activities undertaken by student groups, associations or individual students are considered to be under the management of Student Affairs.

Where content reflects a third party involvement or mention, the communications team will be responsible for communicating third party social media policy and ensure all posts are reviewed before posting.

Content (written and visual) for social media must follow the University's Social Media Guidelines, available through www.alfaisal.edu

1. Submitting eForm MCSSM3 with College Dean/Head of Department approval to mc@alfaisal.edu
2. Head of Marketing Communications review and task is assigned
3. Communications team briefing with requestor
4. Head of Marketing Communications review of produced material
5. Requestor review/feedback (review of 3rd party if involved)
6. President Office approval (where applicable)

Recruitment Events & Activities

Marketing Communications develops and delivers marketing strategies to support recruit domestic students for undergraduate and postgraduate programs. Program-specific marketing plans are also developed by Marketing in collaboration with the concerned faculties & colleges.

Marketing Communications supports the University's program of communication and engagement with schools. This includes:

- Support in building and maintaining relationships with schools
- Support in coordinating the representation of Alfaisal at a range of school events including school visits, careers expos, subject selection evenings
- Support in communicating to schools and their community (including parents and guardians)

- Assist in developing school engagement/outreach programs for students and faculty

It is important that Alfaisal maintains positive relationships with schools, which account for around half of the University's undergraduate intake. Communication and engagement with schools is supported by Marketing Communications.

If an Alfaisal staff member outside Marketing Communications or Student Affairs is approached by a school with a request to engage in activities relating to student recruitment, that request must be immediately referred to the Dean, Student Recruitment for further action to ensure a holistic and effective approach in managing schools' relationships.

Domestic student recruitment events including Alfaisal information events, open days, career expo, industry evenings, and awards and presentation activities are managed jointly between Student Affairs, the respective college and Marketing Communications team. No other area of the University, including faculties and departments, is permitted to have a separate presence at events where Alfaisal is already represented unless the Director, Marketing Communications, VP of External Relations & Presidents office has granted prior written approval.

Alfaisal will be represented at all events and activities that take place in the university, students organised activity, campaign, and festival, to conferences hosted by Alfaisal or a third party. Each event will be evaluated by Marketing Communications to assess participation.

Marketing can support Student Affairs in developing and maintaining an audience of highly engaged contacts including schools (primary and secondary), prospective students and community members.

- Submitting Form MCSRE4 with College Dean/Head of Department approval to mc@alfaisal.edu Head of Marketing Communications to review and make recommendations to VP of External Relations & Presidents Office
- Marketing Production team briefing with requestor
- Head of Marketing Communications review of produced material
- Requestor review/feedback (review of 3rd party if involved)
- VP of External Relations approval
- President Office approval (where applicable)

Market Research

The Marketing Communications Department supports the University by conduct market research for all University colleges and departments. Marketing Communications explore areas such as course development, recruitment, positioning, and aspects of the student experience. In addition, undertaking or commissioning quantitative and qualitative research to help assess future needs and trends. Conducting market research will enhance the quality of the college/department and help in making the right decisions

1. Submitting Form MCSRE4 with College Dean/Head of Department approval to mc@alfaisal.edu
2. Head of Marketing Communications review of request
3. Project scope and deadline to be finalised with requestor
4. Submission of findings

University Website

www.alfaisal.edu is the official Alfaisal website. Other websites must not be developed or used to represent sections or activities within the University, including the establishment of non-Alfaisal domains or URLs.

Marketing Communications is responsible for the management of content (written and visual) and design for the Home Page and news pages.

All colleges and departments are responsible for their respective pages. Web authors and coordinators must be nominated by the respective colleges and or departments managers, and delegated the responsibility to deliver quality content via the portal eForms on behalf of their units. Web author and coordinator nominations are approved by college/department for the college or unit

Content produced by staff (written and visual) must follow the University's relevant guidelines and where relevant utilise Marketing Communications team to deliver content-related projects. Accuracy of academic program information is the responsibility of the faculties, and must comply with Branding style guides.

IT are responsible for sending monthly reminders to respective departments and colleges for any website updates.

The maintenance of the website including the infrastructure and development/updates will be under the responsibility of IT Services.

Specific links on the University homepage are approved by Head of Marketing Communications and are reserved for high-level corporate branding, major events and major student recruitment activities.

Where a joint venture is established with an external organisation, an external website may be developed. However, the developer must take responsibility for legislative compliance and regular updating of information. Content on the external website should not simply duplicate information contained on the Alfaisal website but may link to the Alfaisal website.

Procedure for website Home page or news posting

- Submitting Form MCW5 with College Dean/Head of Department approval to mc@alfaisal.edu
- Head of Marketing Communications review and assigned to communications or production team
- Communications team briefing with requestor
- Head of Marketing Communications review of produced material
- Requestor uploads e request in portal

University Photography

The Marketing Communications Department provides photography services with approved images for use in Alfaisal University communications, internal and external. This includes photography of Alfaisal University campus, students, visitors, events...etc. The Marketing Communications Department archive all university photos that are available upon request.

Photographs taken by Marketing Communications photographer are owned by them, they are free to edit, fix and is use the material taken, and created by its team for different University marketing purposes. Photographs are shared with requesters after being filtered and edited by the photographer and after approval from the Head of Marketing Communications

Requestor must sign a consent form ensuring that during the event the audience (male and female) agree to have their photos and videos taken and agree on posting them on Alfaisal University communication channels unless stated otherwise

Merchandise

Marketing Communications coordinate production of all official Alfaisal merchandise and promotional materials.

All Alfaisal merchandise is available upon request and approval of VP of External Relations and through Marketing Communications. Where colleges & departments wish to order their own Alfaisal-branded merchandise for giveaway or sale to staff, students or external stakeholders, this can also be ordered through Marketing Communications after the approval of the VP of External Relations. Final artwork for promotional items must be checked for compliance with corporate identity standards and approved by Head of Marketing Communications.

Approved corporate gifts can also be requested by colleges and departments from the Marketing Communications.

Marketing and External Engagement monitors the sustainability of marketing and external engagement activities it undertakes for the University in accordance with the University's Sustainability - Governing Policy.

III. Event Management

Events, Ceremonies & Special Visits

Marketing Communications Department is responsible for ensuring that all events held uphold the image of the University and its mission, it is the authorised department responsible for the planning and delivery of major University events including ceremonies, exhibitions, recruitment events and any other University event that is held in collaboration with an external entity.

All other corporate/academic functions hosted by any Alfaisal college or department which involve representation at senior Alfaisal level with dignitaries and other community members will require owner to engage Marketing Communications Department at the initial planning stages and ensure that approval for this activity is taken from Office of President.

Planning for corporate functions as mentioned above is undertaken by event owner representative (College/ department) with advice from Marketing Communications.

Announcement of the event is done through weekly news wire, social media, and website. All event owners (Deans & HOD) are responsible for event announcement to Snr Leadership. VIP invitee lists must be shared with Head of Marketing Communications 2 weeks prior to any such event, for review and approval from VP of External Relations. Marketing Communications are responsible for contacting, confirming and receiving all VIP, Dignitaries etc.

Any VIP visits/lectures, delegations local or international scheduled must be communicated with the Marketing Communications Department.

- Submitting Form MCE5 (Events) MCSPV6 (Visits) with College Dean/Head of Department approval to PR through eForm link.
- Head of Marketing Communications review task is assigned
- PR team briefing with requestor
- Approved action plan(event) Visit Agenda is sent to requestor
- Event is executed as per agreed action plan/visit agenda

SECB Permits for Events:
Marketing Communications are responsible for obtaining SECB permits on behalf of the University/college event organizers, apart from Student Affairs.

Marketing Communications will coordinate with the official events management company to obtain the appropriate incenses and permits.

All documents required for obtaining approvals need to be provided to Marketing Communications in a timely manner.

University PR Protocol

Marketing Communications produces news stories which are current, factual and objective, and which highlight the services and priorities of the University. Where news is about another party in collaboration with Alfaisal, the news release must be initiated by other party and reviewed by the president. A final release will be issue by both parties.

News releases and other publications produced by the Marketing Communications Department should not include material designed to affect public support or direct marketing of a course/or related.

The University has a role as a community leader, which means news stories may be issued to:

- Explain and raise awareness about evolving or existing discoveries, research or advancements, functions, projects or initiatives
- Provide information about services
- Open or launch a new scheme or project

  Publicise University, Committees and other meetings involving University representatives, their agendas and outcomes, Board members, advisory board members etc.

Marketing Communications is responsible for guests PR:

- Ambassadors, Ministers, Dignitaries, and Board Members who will be met by the President, VP of External Relations at events, meetings or any such activities that is conducted at the University. Head of Marketing Communications will monitor the arrival of guests and notify leaders of the imminent arrival. Executives, CEO's and other will be met by the Head of Marketing Communications and escorted to where the President and VP of External relations will welcome visitors.
- PR protocol of all attending dignitaries and others must be communicated with their assigned coordinator. PR specialist must be in direct contact with all coordinators to ensure a smooth running of events.
- All arrangements are coordinated by the University's PR/MC in line with established standards, ensuring professional organization and reflecting the university's institutional identity and excellence in all formal occasions.
- Standardize seating arrangements, flag placements, and meeting protocols to maintain a unified and dignified presentation during official events.

Media

All media relations activities and contact with any media outlets must be directed through the Marketing Communications Department. Official Alfaisal press releases are issued only by this team after the approval of VP of External Relations, and President of Alfaisal.

Media organisations, TV or News channels seeking to visit Alfaisal campus or facilities must be directed first to Marketing Communications Department.

Marketing Communications assists in appropriate pre-promotion and media coverage of corporate events. If media representatives are to be invited to corporate functions, as guests or in anticipation of the event receiving media coverage, this invitation must go through Marketing Communications.

NO student or faculty is permitted to engage in interview with any media outlet without the knowledge and approval of Dean of College & Head of Marketing Communications. A member of Marketing Communications must be present at every activity.

Academic staff are encouraged to share their expertise with media on matters of community interest but only through the Marketing Communications. The President, however, is the principal spokesperson for Alfaisal on matters of policy and corporate issues.

During critical incident, all communications with the media must be arranged and managed by the Head of Marketing Communications in coordination with the President's office.

Sponsorships

Marketing Communications are responsible for the management of any approved outgoing sponsorship arrangements on behalf of the University. Outgoing sponsorship involves Alfaisal seeking out and paying for some or all of the costs associated with a project, program, event or activity in exchange for recognition. This will involve ensuring any agreements as part of the sponsorship that involves marketing the University is monitored.

The Development Department is responsible for the management of incoming sponsorship. Incoming sponsorship involves an external party approaching Alfaisal to pay for some or all of the costs associated with a project, program, event or activity in exchange for recognition. Marketing Communications teams can help assist in seeking incoming sponsorship for colleges and events using the guide developed by Development Department.

Student ambassadors and volunteers

Marketing Communications in collaboration with Student Affairs are responsible for the recruitment of Alfaisal student ambassadors. Student ambassadors are current students who are trained to deliver various activities on behalf of the University. They provide a link between the community and Alfaisal by using their own experiences to convey and share their knowledge.

Any paid work that an Alfaisal student ambassador undertakes for the University must be approved in writing by Marketing Communications.

Marketing Communications is responsible for the management and rostering of Alfaisal student ambassadors.

Alfaisal students who are not official student ambassadors are deemed to be volunteers. They may be used to communicate with prospective students at recruitment events or engagement activities provided by Volunteers Club, Marketing Communications approves their use in writing and briefs them on University priorities and messages prior to them attending.

Film Production (Proposed New Unit)

Office of Research and Innovation

Research Policies & Procedures -RI001

Policy Code

RI001

1. General Principles

1.1. Purpose

This document outlines the policies and procedures governing research sponsored and conducted in collaboration with Alfaisal University. It sets forth definitions, policies, and procedures for approval, processing, budgeting, and accounting for research funded from internal and external sources as well as ethical practices.

1.2. Background

Eminence in research is crucial to achieving the University's goals of becoming a leading educational institution and a model in the region. It is also a critical component to the University’s mission of conducting world class research that benefits the Kingdom of Saudi Arabia, the region and the world. Collaboration between Alfaisal University and individuals, companies, and other universities in the local environment is fundamental to conducting research which can be applied to benefit and develop society.

1.3. Definitions

Statements defined below are to be applied in interpretation of these regulations:

***Scientific Research*:** Search for knowledge that is built on a scientific basis and accomplished because of individual or joint effort.

***Principal Investigator*:** a faculty member or equivalent, who represents the research group or is assigned the mission of supervision and management of the whole group.

***Co-Investigator*:** a faculty member or equivalent, who participates with a group of researchers on a project.

Reviewer: a faculty member or equivalent, who is an expert in the field and who is assigned to review a scientific project.
Adviser: a faculty member or equivalent who is an expert in the field and who provides service or advice.

1.4. Research Themes & Initiatives

Research themes are broad areas of focus that guide research efforts within a particular field or discipline. They are used to define the scope of research and to identify the key questions and issues that researchers aim to address. Research themes can be broad and encompass many different subtopics, or they can be more specific and focused on a particular aspect of a discipline. At Alfaisal University the focus remains on eight (8) main themes, energy systems, advanced manufacturing & high value materials, digital technologies, human capital, food and environment, health and pharmaceuticals, urban and logistics, and economy and privatization (https://research.alfaisal.edu/) (Figure 1).

These themes are in coordination with Vision 2030, the Ministry of Education, and the sustainable development goals and are in alignment with government agencies who are aligned within these themes. As new research is conducted and new insights are gained, research themes may shift and evolve to reflect these developments. In addition, the Office of Research & Innovation, in consultation with faculty in the Colleges, has also initiated five flagship initiatives Health Innovations (alfa-Hi), Advanced Manufacturing (AIAM), Human Capital (AHCI), Biotechnology (ABI), and Sustainable Development (ASDI).

Figure 1. Alfaisal University Themes & Sub Themes (2022)

2. Offices, Councils & Committees that Support Research

2.1. Office of Research & Innovation

The Office of Research & Innovation (ORI) is responsible for assuring adherence to the University's and sponsor's policies and procedures, and for following ethical standards in conducting research. It provides direction and guidance in the development, identification, and securing of funding sources as well as proposal development, submission, administering and closure of awards. The Office will convey quality services related to development of research projects, compliance in the conduct of research, intellectual property, technology transfer, and governance issues related to sponsored programs.

Services will be provided to university faculty and staff through administrative support for research projects and contracts. In addition, the Office will provide an important interface with public and private members of the external community that have a vested interest in research. It is responsible for management and promotion of research activities that are carried out by the academic departments through external or internal funding.

2.2. Technology Transfer Office

The Technology Transfer Office (TTO) is the entity responsible for all aspects of technology and Intellectual Property (IP) creation, management, transfer and release at Alfaisal University (https://tto.alfaisal.edu/). The scope of the TTO mandate is as follows:

- Develop, maintain and update programs for technology and IP management and transfer.
- Identify, evaluate and commercialize disclosed technology and IP in a periodic manner.
- Maintain complete records of all disclosed IP and material transfer agreements.
- Educate and motivate members of Alfaisal University on Technology Transfer and IP aspects.
- Values

In all its handlings, the TTO operation will be aligned with efforts aimed at the realization of the Kingdom's vision and aspirations, abiding by the laws, regulations, and values of the Kingdom, strategically evaluating, protecting, and licensing intellectual property rights of Alfaisal University and its members.

A Director oversees and manages the operation of the TTO appointed by Alfaisal University and will report directly to the VP responsible for Office of Research and Innovation (ORI). Reporting to the VP, the Director is charged with leading the Technology Transfer Office (TTO) with carrying out the responsibilities described below and elsewhere in this Policy

The main TTO structure duties will include technology identification, assessment and filing (protection), technology and IP record management and marketing, technology marketing.

Alfaisal University is responsible for managing and executing the intellectual property policy at the university and represents the institution in all the policy issues that affect its relations with the community, government, private entities and others. It has the right to manage this policy and to grant Delegations and Authorities.

2.3. Research & Graduate Council

The Research & Graduate Council (RGC), which is chaired by the Vice President for Research & Graduate Studies or delegate, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Innovation and the Graduate School are the administrative arms of the Council and are empowered on its behalf to enforce its regulations and policies. The Council membership consists of vice deans for research and graduate studies from each of the different colleges and disciplines within the institution, as well as the Director of the Graduate School.

2.4. College Research Committees

Each College has a Research Committee consisting of faculty members that is responsible for reviewing applications for internal research funding and making recommendations to the Office of Research & Innovation (ORI) which reports to the Research & Graduate Council (RGC).

2.5. Standing Committee for Graduate Studies

The Ministry of Education *Council of Universities' Affairs* requires that an institution should have a *Standing Committee* (formerly *Permanent Committee*) to oversee all aspects of graduate studies (*adopted at Council of Universities' Affairs 9th mtg held on 1 August 2022*). Chaired by the Vice President for Graduate Studies & Research, it reports directly to the University President. At Alfaisal University membership consists of Deans, Vice Deans of Graduate Studies of colleges, as well as the Director of Graduate Studies, and the Director for Quality Assurance & Accreditation. Many graduate programs, for example, also involve thesis/dissertation research and thus require oversight by the *Standing Committee*.

2.6. Scientific Council

The Ministry of Education *Council of Universities' Affairs* has mandated that an institution should also have a *Scientific Council* to oversee all aspects of scientific matters pertaining to faculty members, research activities, studies, and publications (*adopted at Council of Universities' Affairs 9th mtg held 1 August 2022*). The Council is constituted for a duration of three years. The individual responsible for overseeing scientific research (i.e., VP for Graduate Studies & Research) at the university shall serve as the chair of the Scientific Council. Membership, which is approved by the Alfaisal University Board of Trustees, is comprised of a representative from each college holding at least the rank of associate professor. Three faculty members from external institutions, each holding the rank of at least associate professor, are included in the Council. The Scientific Council also has a Secretary General from the faculty members of the university, nominated by the chair of the Scientific Council and appointed by the President of the University for a renewable term of three years. At Alfaisal University, for example, the Secretary General is responsible for processing all external reviews associated with faculty promotions. The secretary possesses neither voting rights nor is included in the quorum count.

2.7. Institutional Accreditation & Quality Assurance Committee

Established in 2024 by an administrative decision from the President's Office (Ref.: M/G/24090088; Date: 05/09/2024), the *Institutional Accreditation & Quality Assurance Committee* plays a crucial role in ensuring and enhancing the quality of education and academic standards at the university by implementing quality assurance policies, maintaining documentation, providing training, and supervising audits to ensure compliance with national and international standards (https://qaa.alfaisal.edu/). The Committee is chaired by the Director of Quality Assurance & Accreditation. Membership consists of the College Vice Deans for QAA, and a Quality Assurance representative from the Graduate School.

Committee responsibilities include:

- Propose and implement quality assurance policies and processes to enhance the quality of teaching and learning and promote quality culture within the university.
- Communicate policies and procedures and provide training and oversight.
- Review and assess the institution's compliance with accreditation requirements, identify areas of non-compliance, and develop action plans to address deficiencies.
- Participate in the preparation of self-study reports and review visits.
- Supervise internal audits and validation of portfolios at the course, program, and college levels.
- Provide reports to institutional leadership on accreditation status and QA initiatives.
- Promote transparency in the accreditation process and quality assurance activities.

2.8. Institutional Review Board

In compliance with the provisions of the Saudi Law of Ethics of Research on Living Creatures and regulations, and under guidelines of the National Committee of Bioethics (NCBE), Alfaisal University founded and registered an *Institutional Review Board (IRB)* under the number (HA-01-R-058).The Board consists of 9 members: a chair, vice chair, and 8 members in various specialties", including Medicine, Business, Engineering, Science, Pharmacy, Biostatistics, Epidemiology, Law, and Public Health, and a community representative. In addition, the IRB has a designated coordinator.

Researchers can apply online to obtain IRB approval of their research projects (https://irb.alfaisal.edu/). The IRB is an independent board and does not report to the University administration.

The IRB is regulated by the NCBE with the mandate to review human subject research studies that take place within Alfaisal University. The purpose of review is to determine if the proposed research meets established regulatory and ethical criteria of the Law of Ethics of Research on Living Creatures. and its regulations, and in compliance with the guidelines of the NCBE. The IRB licenses and monitors the conduct of human subject research at Alfaisal University.

2.9. Sustainability & Strategic Planning Office

The *Sustainability & Strategic Planning Office* was established to integrate sustainability into the University's growth and development plans. Its aim is to advance sustainability in education, research, operations, and community engagement, while promoting a culture of responsibility and stewardship for the environment (https://sustainability.alfaisal.edu/). The University is deeply committed to its institutional mission of providing excellent and versatile world-class education, research, and innovation that contribute to serving society and achieving sustainable development. Using the University's resources and strategic partnerships, recognizes the critical importance of contributing to the *United Nations Sustainable Development Goals (SDGs)* and the country's development objectives.

Core goals:

1. Integrate sustainability principles into the curriculum across all disciplines, offering courses and programs that educate students on environmental stewardship and social responsibility.
2. Foster interdisciplinary research initiatives focused on sustainability challenges, encouraging faculty and students to collaborate on innovative solutions to environmental and social issues.
3. Implement sustainable practices across campus facilities, striving for carbon neutrality, reducing waste, conserving water, and promoting energy efficiency in buildings and infrastructure.
4. Engage the campus community through outreach programs, events, and initiatives that raise awareness about sustainability issues, empower students and staff to act, and foster a culture of environmental responsibility and activism.
5. Implement a Strategic Sustainability Plan by establishing a clear, actionable roadmap to integrate sustainability across university operations, curriculum, and community engagements, ensuring progress towards United Nations SDGs.
6. Commit to Continuous Improvement in Sustainability Practices by regularly reviewing and updating the institution's sustainability strategies and practices, incorporating the latest best practices and feedback from the community and stakeholders to enhance performance and impact over time.

2.10. Prince Khalid Alfaisal Center for Research & Consultancy Studies

As the commercial or business arm of Alfaisal University, the *Prince Khalid Alfaisal Center for Research & Consultancy Studies* delivers state-of-the art applied research solutions, educational training and consultation services that contribute to sustainable economic and social development by exploiting the human resources expertise and through building strategic partnerships (https://center.alfaisal.edu/about). The business center offers services to the faculty, students, and community at large in all aspects of the following areas: Research, Training, IP, Corporate Governance, Competitiveness Center, and Innovation. With Alfaisal University's vast expertise, services and assets on hand, the aim of the center is to stay focused on the vision and mission which is to be in the forefront of innovation, education, and free enterprise both at the national and regional level by providing applied research solutions and consultations.

One of the main initiatives at the Center, for example, is to focus on Human Capital (https://research.alfaisal.edu/initiatives) which is in line with the Vision 2030 to develop a resilient and strong educational base, to prepare for future and global labor markets, and to provide lifelong learning opportunities. To meet this initiative, The Center has configured and tailored an online platform called the *Alfaisal Extension* that allows for customization of any course either face-to-face, online and/or hybrid to the public, with accessibility from anywhere, anytime (https://center.alfaisal.edu/training).

3. Research Policies & Procedures

3.1. Conference Attendance

This policy establishes the official standards, procedures, and eligibility requirements governing conference attendance support at Alfaisal University. It aims to ensure that university resources are allocated to high-quality, academically reputable conferences that advance institutional research priorities, strengthen scholarly output, and enhance the global visibility of Alfaisal University.

3.1.1 Eligibility Criteria

Applicant Eligibility:
Each faculty member should hold a full-time academic appointment at Alfaisal University. Eligible ranks include professorial faculty (Professor, Associate Professor, and Assistant Professor), as well as Senior Lecturers, Lecturers, and Instructors.

Conference & Research Quality Criteria:
The conference must be associated with a recognized international professional society. The associated journal must be indexed in Web of Science and ranked Q1 or Q2, indicating high scientific credibility. The applicant's contribution to the conference must be delivered as an oral presentation. The topic presented must be original and must not have been previously published. The event must not be linked to predatory publishers, non-accredited societies, or commercially driven meetings lacking academic rigor.

3.1.2 Application, Review, & Approval Process

Application Submission:
The applicant must complete the official Conference Attendance Application Form (attached in Appendix 1) and attach all required supporting documents. The completed application, along with the Dean's endorsement, must be submitted to Office of Research & Innovation (ORI). All applications must be submitted at least two months prior to the conference start date. Applications that are incomplete, inaccurate, or submitted after the deadline may not be processed.

Review by Office of Research & Innovation (ORI):
The Office of Research & Innovation (ORI) will review the application to verify eligibility, completeness, and compliance with the Conference Attendance Policy. Applications that meet all requirements will be forwarded to Higher Management for final decision. Decisions issued by ORI regarding conference support applications are considered final and are not subject to appeal.

***Post-Approval Financial Process*:**
Upon receiving executive approval, ORI will formally transfer the approved request to the Human Resources (HR) Department for administrative processing. The faculty member must log in to the Alfaisal HRSS system and submit a Business Travel Claim. HR will provide the necessary step-by-step submission guidance, and faculty may contact HR directly for support. HR becomes the primary point of contact. The applicant must also upload the following documents in HRSS when submitting the claim:

- ORI approval letter
- Ticket information
- Accommodation details
- Registration fees (if applicable)
- Visa fees (if applicable)

Conference support is issued as an advance (outstanding amount) rather than reimbursement and is provided as follows:

- Up to 15,000 SAR for Professorial Faculty (Professor, Associate Professor, and Assistant Professor).
- Up to 10,000 SAR for Senior Lecturers, Lecturers, and Instructors.
- A lower amount may be assigned by ORI for international/local travel, partial eligibility cases, or other situations deemed not qualifying for the full allocation.
- To close the advance, the faculty member must submit the official certificate or letter of attendance to HR and ORI. The advance will remain open until this document is provided.

3.1.3 Processing Timeline

Applications submitted within the required timeframe will be reviewed and processed within 7–10 working days from the date of receipt. Please note that additional time may be required by Higher Management.

3.1.4 Acknowledgments

Recipients of conference attendance support are required to acknowledge Alfaisal University in their conference presentations, abstracts, posters, or related materials, in accordance with ORI guidelines.

3.1.5 Post-Conference Requirements

Following attendance at an approved conference, the applicant should submit a copy of any resulting publication output, abstract, conference preceding, or final published manuscript to ORI immediately upon publication. Failure to comply with post-conference requirements may affect future eligibility for conference support.

3.1.6 Communication & Contact Information

All inquiries or requests for clarification related to this policy shall be directed to ORI designated contact person: Zinab Elbashir. Email: zelbashir@alfaisal.edu

3.2. Publication Fees Support

This policy outlines the procedures, eligibility criteria, and payment mechanisms for supporting publication fees at Alfaisal University. This policy aims to enhance research output, global visibility, and scholarly excellence by providing financial support for eligible fees, to encourage faculty, researchers, students, staff, and adjuncts to publish in high-impact journals.

3.1.1 Eligibility Criteria

Applicant Eligibility: Faculty members, adjunct faculty, postdoctoral research fellows, teaching assistants, research assistants, undergraduate and graduate students, as well as administrative staff, provided they hold an official affiliation with Alfaisal University.

Reimbursement Rates:

Author Role	Reimbursement Rate
First author	100%
Co-author (non–first author)	50%

“First author” refers strictly to the first name listed in the byline. “Equal first authorship” is not considered the first author for reimbursement purposes, as per Alfaisal University guidelines.

Publication Eligibility:

Support is provided for all papers accepted for publication in high-quality journals indexed in Web of Science (Q1 and Q2, according to Journal Citation Reports 2025 by Clarivate), or equivalent. If a journal falls within Q1 or Q2 in any of its indexed categories, it is considered eligible for publication fee support. If the journal operates on a hybrid model with both subscription and open-access options, applicants should select the subscription option for publication. If open access is preferred, pre-approval from the Office of Research & Innovation (ORI) is required. If the journal is open access only and meets the university’s eligibility criteria, the publication fee will be covered without additional pre-approval.

Affiliation Requirements

For faculty members, adjunct faculty, postdoctoral research fellows, teaching assistants, research assistants, undergraduate and graduate students, as well as administrative staff, Alfaisal University should be listed as the primary institutional affiliation to be eligible for support.

Correct Affiliation Format

- Authors should use the following format: College of [Name], Alfaisal University, Riyadh, Saudi Arabia.
- Common mistakes such as writing Al Faisal or Al-Faisal or adding Kingdom of Saudi Arabia do not align with the University's official affiliation format.
- Adding the Department (before the College) is optional but preferred.
- If a ZIP code is required, it should be 11533.
- If a P.O. Box is required, it should be 50927.
- The affiliation should include the author's official Alfaisal University email address on the published paper. The use of personal email addresses (e.g., Gmail, Hotmail, Yahoo, or Outlook) should be avoided.

Ethical Compliance

All research involving human subjects, human data, animals, or biological samples should have prior Institutional Review Board (IRB) approval. Proof of valid IRB approval (or exemption) should be submitted with the publication fee request.

Submission Fees

In certain academic disciplines, particularly business, economics, and related fields, some journals charge submission fees at the time a manuscript is submitted. These fees are non-refundable, distinct from publication fees, and not required by all journals. Submission fees will be covered for up to two (n=2) submission attempts for the same manuscript.

3.1.2 Application Procedure

All applicants are required to complete the Publication Fee Support Form (attached in Appendix 2) and submit the appropriate supporting documents corresponding to their request type. Table 1 outlines the required evidence for each case to clarify the overall process and ensure consistency in the review and approval procedure.

Table 1. Required evidence for each case to clarify overall process & ensure consistency in review & approval procedure for publication fee support.

Request Type	Request Condition	Required Supporting Documents
ORI Direct Payment	The paper has been published, and the publication fee has not yet been paid. ORI will process the payment directly.	• Completed Publication Fee Support Form • Invoice from the publisher • Payment link (if not included in the invoice) • Published paper
ORI Direct Payment	The paper has been accepted but is not yet published. ORI will process the payment directly	• Completed Publication Fee Support Form • Invoice from the publisher • Payment link (if not included in the invoice) • Official acceptance letter • Corrected galley proof
Finance Department Reimbursement	Applicants who have already paid the publication fee. In this case, the publications fees will be processed by the ORI and forwarded to the Finance Department for reimbursement.	• Completed Publication Fee Support Form

Request Type	Request Condition	Required Supporting Documents
		• Invoice from the publisher • Proof of payment (strictly bank receipt) • •Published paper

Review & Approval Process: Upon receipt, ORI will review the request for eligibility. Approved requests will proceed for management approval, applicant notification, and payment processing. Requests that are not approved will be communicated to the applicant with clarification, as needed.

Processing Timeline: All publication fee payment and reimbursement requests will be processed by ORI within 5–7 business days upon submission of complete documentation. Please note that this timeline covers ORI's internal administrative processing only. Additional time may be required by ORI or the Finance Department to complete the final payment or reimbursement.

Acknowledgments: Funded publications that are related to an awarded Internal Research Grant (IRG) or President's Initiative Fund (PIF), should include proper acknowledgment of Alfaisal University support, following ORI guidelines. The exact wording is not mandatory, but it should clearly indicate that the research was supported by the university.

Example acknowledgment:

"The authors gratefully acknowledge the support of Alfaisal University, Office of Research & Innovation, through the Internal Research Grant (IRG #XXXXX)."

***External Funding Policy*:** If a publication is fully or partially funded by an external agency, external funding should be utilized first to cover publication fees. ORI will only cover publication fees not already funded through external sources. A copy of the external funding award letter or agreement should be attached as supporting documentation.

Exceptions and Special Cases:

- *Books and book chapters:* Fees will be reviewed on a case-by-case basis, subject to ORI approval.
- *Conference proceedings publications:* Fees will be reviewed on a case-by-case basis, subject to ORI approval.

Communication and Contact Information: All inquiries or requests for clarification related to this policy shall be directed to ORI designated contact person: Dr. Zinab Elbashir. Email: zelbashir@alfaisal.edu.

3.3. Editorial Support

Alfaisal University is committed to fostering academic excellence and supporting faculty members and students in their research endeavors. As part of this commitment, the university recognizes the importance of high-quality research publications and the need for effective editing services to ensure the clarity and coherence of academic work. To address this need, Alfaisal University will subsidize editing services for up to 500 SAR per manuscript. A faculty member or student may make use of external or internal editing services. To be reimbursed a copy of a paid invoice as well as the edited manuscript should be submitted to the ***Office of Research & Innovation (ORI)*** https://research.alfaisal.edu/contact-us. The **ORI** will then reimburse the faculty member or student for up to 500 SAR.

3.4. Statistical Support

Statistical support is provided through the *Department of Biostatistics & Epidemiology* (https://com.alfaisal.edu/en/biostatistics-epidemiology). The department offers courses in biostatistics and epidemiology and has strong collaborations with public and private national and international health agencies and institutions. The department hosts seminars and special events to enhance students' learning experience. In addition, there is a University *Quality Assurance and Accreditation (QAA) department* which is dedicated to assisting the institution in achieving its strategic goals of quality, academic excellence, and continual development on a local and global level (https://qaa.alfaisal.edu/). This department serves as a link hub between Alfaisal University and external regulatory bodies, such as the Ministry of Education (MOE) and the *National Commission for Academic Accreditation & Assessment (NCAAA)*, as well as other professional bodies and external accrediting agencies.

3.5. Research Integrity

The demonstration of professional integrity by faculty members includes recognition that society at large will judge the profession as well as the institution by their statements and behavior. Therefore, faculty members should strive to be accurate, to exercise appropriate restraint, to be willing to listen to and show respect to elements of society at large expressing different opinions.

Scholarly conduct must avoid fabrications, falsifications, plagiarism and other practices that deviate from accepted scholarly work. Faculty must apply academic rigor and integrity in obtaining, recording and analyzing data as well as in reporting and publishing results.

Faculty undertaking research should do so in a manner consistent with professional honesty and within the public interest. Research should be designed to enhance knowledge in a particular field of scholarship and should demonstrate sound methodology, accuracy and maintain the factual integrity of the data.

Faculty must use funds designated for research purposes in the prescribed manner.

Faculty members and other researchers who are full-time paid employees at Alfaisal University should declare Alfaisal University as their academic affiliation in any publication produced during their stay at the University.

3.6. Investigator Eligibility

The Principal Investigator (PI) for grants must normally be a full-time faculty member at Alfaisal University. Co-Investigators may be from Alfaisal or another institution. A Co-Investigator must consent to take over the project if the PI is unable to continue.

3.7. Research Misconduct

This section outlines the conditions that protect and encourage the faculty in its scholarly pursuits. The University requires that those engaged in scholarships be dedicated to the highest ethical standards. Misconduct in scholarship by any member of the university community threatens the university as well as the individual. The policies set forth here apply to all faculty members and provide for an objective examination of pertinent facts, protection of individual rights, and integration with other relevant review procedures, all under the general supervision of the Provost/President as the senior academic administrator.

Scholarly misconduct includes fabrication, falsification, plagiarism, inappropriate allocation of authorship credit, or other serious deviation from accepted practices in proposing, carrying out, or reporting technical results and expenditure of funds from research, educational or other scholarly activities; or retaliation of any kind against a person who has not acted in bad faith and who reported or provided information about suspected or alleged misconduct; or failure to comply with regulatory requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals.

Scholarly Misconduct does not include honest error or honest differences in interpretations or judgments of scholarly matters. If the alleged misconduct is not substantiated, the University will undertake diligent efforts to

restore the reputation of those under investigation. Should either the inquiry or the investigation show that the allegations of misconduct were not made in good faith, those making the allegations will themselves be subject to disciplinary action.

Decisions regarding alleged misconduct procedures should yield a just decision based on the best and most complete information available. Any decisions should be based on the expert judgment of individuals qualified in the respective scientific field, using scientific interpretations and standards of proof, with a minimum of procedural complications. At the same time, however, the process must be fair and afford all parties an equal chance to present their best arguments. The confidentiality of all parties in a dispute must be preserved to an extent consistent with the University's obligations to research sponsors and to the scientific community. Acrimony and recrimination are undesirable, so adversarial interactions should be avoided. The process should move speedily, yet haste and error must be avoided.

Guided by these principles, Alfaisal University has established a policy with four procedural stages. In the screening stage an accusation of research misconduct is brought to the Vice President for Research & Graduate Studies who will examine the charges to ensure they are potential violations of the misconduct policy and, if so, to pass the case along to an Inquiry Panel. The inquiry stage evaluates the merits of the case, determining whether there is sufficient evidence of misconduct to merit a full investigation. The investigation stage entails a detailed examination of the case to resolve the facts ("Was this or was this not an instance of misconduct?"). Ascertaining whether misconduct occurred is a judgment about collegial conduct that should be resolved on its merits. If at any stage in the process it becomes evident that there was no misconduct, vigorous efforts must be made to minimize and remedy any adverse consequences for the respondent's career and reputation. If misconduct is established, then the case is referred to the disciplinary stage.

3.8 Procedures for Investigating Research Misconduct

3.8.1 Screening Stage

Initial reports of alleged research misconduct must be brought to the attention of the person with administrative responsibility for the individual whose actions are in question. That person must in turn report the allegations to the Vice President for Research & Graduate Studies. Care must be taken to protect the privacy of those who report apparent misconduct. The Vice President will promptly examine the case and determine if the case falls under the misconduct policy. If so, the inquiry stage will be followed.

3.8.2 Inquiry Stage

The Vice President for Research & Graduate Studies will immediately inform the respondent in writing of the accusation and that an inquiry has been initiated. The Vice President will prepare a list of proposed members for the Inquiry Panel. The respondent may challenge the inclusion of specific individuals to this panel by stating his or her objections in writing. The Vice President will then select the Inquiry Panel.

The inquiry will be conducted by a Panel consisting of two Faculty members and one academic administrator. The Panel should take no more than 30 days to conduct its inquiry and determine whether or not there is a reasonable basis to conclude that misconduct has occurred. During this discovery stage, the only persons who may be present during fact-finding sessions are the Inquiry Panel members, and any witnesses (e.g. respondent, complainant, other faculty/staff) called by the Panel. If the respondent is not available to attend, the Provost/President will fairly resolve the conflict between timeliness and the respondent's right to be present.

If a majority of the Inquiry Panel finds there is reasonable basis to conclude that misconduct occurred, then the matter must proceed to the investigation stage. The Inquiry Panel reports the results of its inquiry along with recommendations in writing to the Provost/President. The Provost/President will advise, in writing, the respondent and the complainant of the Inquiry Panel outcome. If there is to be an investigation, the Provost/President must advise the respondent in writing of the specific charges to be investigated. At that time, any collaborators and sponsoring agencies involved must be informed of the allegations.

3.8.3 Investigation Stage

Investigation of alleged misconduct will be conducted by a committee appointed by the Provost/President. The committee will be comprised of a minimum of three specialists in the subject area of the respondent and will include one individual from outside Alfaisal University. The Provost will prepare a list of proposed members for the Investigation Panel, which may include persons who served on the Inquiry Panel. The respondent may challenge the inclusion of specific individuals by stating any objections in writing. The Provost/President will then select, and appoint, the Investigation Panel. The Panel will elect its own Chair.

The Investigation Panel will determine whether there was academic misconduct. The Panel will follow the procedures for dealing with charges brought against a faculty member as described herein and will seek to provide factual information in a manner that is fair to all parties. The Investigation Panel should take no more than 60 days to complete the investigation and to prepare a written report of its findings including a recommendation on the disposition of the case. The Panel should follow pertinent regulations of the agency or agencies that sponsored the research under investigation. The Investigation Panel will submit its report to the Provost/President, who in turn may notify the sponsoring agency of the findings of the investigation.

3.8.4 Disciplinary Stage

For individuals found to have committed scholarly misconduct, the Provost/President may take one or more of the following actions: (a) give a letter of reprimand; (b) monitor their work performance; or (c) recommend removal from a specific research project. Other, more severe, penalties include (d) being barred from conducting sponsored research, (e) recommending a reduction in rank, (f) suspension for a fixed period, or (g) termination. Termination shall be in accord with procedures specified in the Faculty Handbook.

If there is a finding of misconduct, the Provost/President must also take the following actions: (a) All pending abstracts and publications emanating from the fraudulent research should be withdrawn and editors of journals in which previous abstracts and papers appeared should be notified of the findings of the investigation; (b) Institutions and sponsoring agencies with which the investigated individual has been affiliated should be notified that there is reason to believe that the validity of previous research might be questionable.

3.9 Research Compliance

Faculty must comply with relevant statutes or regulations for the protection and welfare of researchers, human subjects, the public, laboratory animals and the environment.

3.9.1 Institutional Review Board

Research involving the use of Biohazardous Material, Human and/or Animal Subjects must be submitted to the Institutional Review Board (IRB) for review and approval (https://irb.alfaisal.edu/). Funding will not be granted for research which has not been approved.

3.9.2 Human Subjects

Medical research is subject to ethical standards that promote respect for all human beings and protect their health and rights (World Medical Association Declaration of Helsinki 2000). Approval for research involving Human Subjects cannot be initiated prior to application and submission of related documentation and consent forms to the designated Ethics Committee at the facility where the research will be conducted (https://irb.alfaisal.edu/).

Approval is granted for a specified duration and must be renewed to ensure continuation of research. It is the responsibility of the Principal Investigator to submit a progress report in accordance with the IRB Committee guidelines for review and approval. In some instances, projects that have not obtained approval before the expiration date are terminated. Any modifications to a research protocol, consent forms, or administrative matters in addition to reporting of adverse events must be submitted for approval by the Principal Investigator to the respective Committee(s).

3.9.3 Animal Subjects

Research involving the use of animals is subject to compliance of ethical practices and standards which ensure

their proper care, use and humane treatment. Approval must be obtained from the Institutional Review Board (IRB) available at each collaborating facility where the proposed research will take place. The IRB is responsible for reviewing and approving all research activities involving the use of animal subjects before a project is initiated. Research which does not receive approval from the IRB will not be funded.

3.9.4 Environmental Health and Safety

It is the duty of faculty members conducting research to take necessary measures to promote and secure safe and healthy working practices and environments. Use of rDNA, biohazardous materials, or other agents must be detailed in the research protocol. Review and approval must be obtained from respective committees in facilities where the proposed work will take place. Proposals that have not received prior approval will not be recommended for funding.

3.10 Conflict of Interest

Conflicts of interest may arise when a faculty member's personal interests interfere with their responsibility to the university. The key factors in avoiding ethical and legal conflict of interest are personal responsibility and integrity. Alfaisal University expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the University. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and their dean. Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the University. Faculty members with the authority to commit university funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds. Only in special cases may University equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the Department Head and Dean or applicable Vice President.

4. Funding Research & Innovation

4.1. Policy Statement

The Office of Research & Innovation (ORI) is responsible for the coordination, supervision, and securing funds for research in the University and with collaborative partners in the local and global environment with the purpose of supporting the University's strategic plan.

Alfaisal University provides support services for research in the form of laboratory space, funding, compensation, computing facilities, and reduced teaching load.

The University seeks to maintain and upgrade research space and to institute new facilities for on-campus research so as to provide a vibrant academic environment conducive to research. The ORI also seeks to provide research laboratory space outside the university through collaboration with for example KFSHRC, KACST, Saudi Aramco, and KAUST.

4.2. External Research Funding

There are several ways to fund research projects either through the University's internal budget or through externally funded programs or projects such as Research Grants, Chairs and Centers. This section gives a brief description of externally funded research.

4.2.1. Research, Development & Innovation Authority

The Research, Development and Innovation Authority (RDIA) has developed a unique research grants and funding portfolio that ensure a sustainable and world-class national RDI ecosystem. Research grants are designed and prioritized to foster a thriving innovative ecosystem, developing highly skilled innovators and support cutting-edge research that can transform industries and create value for society (https://rdia.gov.sa/grants/index.html).

This major source of funding comes in three basic forms: Saudi Basic Science Initiative, Saudi Applied Research and Technology Initiative; and Reactivation and Rebuilding of Existing Labs Initiative.

The *Saudi Basic Science (SBS) initiative* seeks to support basic and fundamental scientific research in Saudi Arabia. The initiative aims to promote scientific excellence and innovation in the research ecosystem continuum. The primary objective is to achieve significant breakthroughs and advancements in the four national RDI priorities. The initiative provides funding to expand the pool of talented national researchers, to encourage their participation in targeted fields and to enable them to pursue their scientific ideas and activities at the early stages of discovery (https://rdia.gov.sa/grants/sbs.html).

The *Saudi Applied Research and Technology (SART)* Initiative is a project-level funding offered by RDIA. The initiative supports applied science and technology development research in Saudi Arabia with a focus on the four national RDI priorities. This initiative enables researchers to convert their scientific activities and ideas from the discovery stage to the development stage with the possibility of market testing and commercialization. Research institutions and researchers within the Kingdom are encouraged to partner with private, public, or not-for-profit organizations while collaborating with other universities. This important opportunity allows for the development of new technologies and strengthening research links and collaborations between different institutions (https://rdia.gov.sa/grants/sart.html).

The *Reactivation and Rebuilding of Existing Labs Initiative* fund provided through the initiative targets the enhancement of the existing labs, which will lead to increasing the number and quality of research outputs in terms of publication, patents, or ready for commercialization IPs. It will also expand the pool of nationally talented researchers and stimulate their participation in areas that will lead to breakthroughs in targeted fields. This initiative aims to support the maintenance and upgrading of existing equipment, facilitate the hiring of research staff such as postdoctoral fellows and researchers, and enable the hiring of supporting staff like technicians, specialists, or engineers to assist researchers (https://rdia.gov.sa/grants/rrg.html). In 2024, for example, Alfaisal University was awarded five contracts in this category worth 17 million SAR>

4.2.2. Contracts with Industry & Foundations

External funding is also available from Saudi Aramco which holds RFP (Request for Proposals) from universities every other year, Al Anoud foundation, and Boeing.

4.3 Internal Research Funding

4.3.1 Internal Research Grants (IRG)

The Internal Research Grant (IRG) policy establishes the framework governing the management, allocation, and oversight of research funding provided by Alfaisal University's Office of Research & Innovation (ORI). Its purpose is to support and enhance faculty research activities, promote collaborative and high-impact projects, and strengthen the university's contribution to national research priorities. This policy outlines the eligibility criteria, application and review processes, funding rules, and reporting requirements to ensure transparency, accountability, and alignment with institutional research goals.

- **4.3.1.1 Roles & Responsibilities**
  Principal Investigator (PI): Prepare and submit a complete IRG application in accordance with the published guidelines and deadlines. Ensure that the proposed research aligns with the university's strategic research priorities. Obtain all required ethical approvals prior to the release of funds. Manage the approved budget in compliance with university financial policies and the grant agreement. Submit progress and final reports on time, including details on outcomes, expenditures, publications, and patents. Acknowledge the university's support in all research outputs resulting from the IRG.

  College Research Committee (CRC): Review and assess submitted proposals based on scientific merit, feasibility, and alignment with strategic priorities. Recommend proposals for funding to ORI with clear justification. Support faculty members in strengthening the quality of proposals and research outcomes. Promote compliance with research integrity and ethical standards at the college level. Use the IRG Proposal Evaluation Form (attached in Appendix 3) to document the committee's assessment and recommendations for each application.

College Vice Dean for Research & Graduate Studies (VDRGS): Ensure that research activities in the college align with university priorities and policies. Oversee the CRC's evaluation process to ensure fairness and objectivity. Endorse and prioritize proposals submitted by the college for IRG funding. Review and provide written recommendations and feedback on all progress and final reports submitted by PIs before forwarding them to ORI. Assess the necessity and cost-effectiveness of requested items and provide feedback to ORI when alternatives or existing resources are available. Review and approve expense forms to ensure they are justified, budget-compliant, and aligned with project objectives before submission to ORI. Serve as the main point of communication between ORI and the college for all IRG matters.

Office of Research & Innovation (ORI): Announce IRG opportunities and provide clear application guidelines and timelines. Receive, screen, and manage all IRG applications and ensure compliance with eligibility criteria. Coordinate the review and evaluation process with relevant committees and reviewers. Issue IRG contracts and ensure that funds are allocated according to approved budgets. Monitor project implementation through regular reporting and communication with PIs. Ensure compliance with institutional and funding policies, including ethical and financial requirements. Provide support and guidance to faculty throughout the project lifecycle. Maintain complete records of IRG applications, awards, expenditures, and outcomes.

- **4.3.1.2 Eligibility Criteria**
  Applicant Eligibility: Full-time faculty members (e.g., Professor, Associate Professor, Assistant Professor, Senior Lecturer, Lecturer, or instructor) are eligible to serve as PIs. Postdoctoral research fellows and graduate students (PhD and Master's) may serve as PIs, provided that their supervisor is appointed as a co-PI. Adjunct faculty, teaching assistants, and research assistants can participate in the project as co-PIs. External collaborators are encouraged to participate in the research project as co-PIs. The ORI supports faculty members in leading IRG projects in alignment with their research progress and capacity, with support maintained throughout successful project implementation. Faculty members should maintain good standing in terms of research ethics, financial compliance, and previous grant performance. Faculty members have successfully completed and submitted all required progress and final reports for previously funded internal grants.

  Application Eligibility: All applications should comply with institutional research ethics and IRB approval requirements where applicable. All applications should be clearly aligned with one or more ORI research themes. (see Appendix 4), that reflects the university's strategic research priorities. All applications should comply with ORI policies and procedures. All applications should be reviewed and endorsed by the VDRGS of the applicant's respective college prior to submission to ORI.

- **4.3.1.3 Application & Evolution Process**
  Faculty members are encouraged to submit IRG applications at any time during the academic year. ORI conducts periodic review cycles and will notify applicants of the next scheduled review date upon receiving their submissions. The PI should complete and submit the IRG application form (attached in Appendix 5), along with the updated CVs of the PI and all co-investigators, to the VDRGS of their respective college. The College Research Committee (CRC) evaluates the application for eligibility, quality, and alignment with the ORI research themes. The reviewed application is then forwarded to ORI for further evaluation. ORI may refer proposals to qualified external reviewers for an independent assessment of their scientific merit and feasibility. ORI consolidates all evaluations and communicates the funding decision to applicants within the nearest review cycle. Priority may be given to proposals that demonstrate strong potential for publication, external funding leverage, or interdisciplinary collaboration across colleges or departments.
- **4.3.1.4 IRG Contract & Activation**
  Upon approval of the IRG, the PI will be officially notified by ORI. The PI will be invited to sign the IRG contract (attached in Appendix 6), confirming acceptance of the grant terms, approved budget, project duration, and compliance with university research policies and ethical standards. The project will be considered activated only after the fully executed (signed) IRG contract is received by ORI. Activation authorizes the PI to initiate expenditures in accordance with the approved budget and procurement procedures outlined in this policy.

- **4.3.1.5 Budget & Funding Rules**
  Budget Allocation: IRG budget allocations are determined in relation to the project's scope and needs. Well-justified requests will be supported following ORI review. Projects involving interdisciplinary collaboration across colleges or departments may be considered for a higher budget cap as an incentive for collaborative, high-impact research. ORI reserves the right to adjust the approved budget based on justification, available funds, and institutional priorities.

  Budget Reallocation: If the PI wishes to reallocate the approved budget, they should complete the Budget Reallocation Form (attached in Appendix 7) and submit it to ORI for review and approval. No additional funds will be granted as part of a reallocation; adjustments should remain within the originally approved budget. A clear and valid justification should be provided, demonstrating that reallocation is necessary and directly supports the original project objectives. Budget reallocation should not affect the original research plan, objectives, or approved topic.

  Fund Release Procedures: IRG funds are not transferred directly to faculty members or their departments. All project-related expenses are processed and paid through ORI in coordination with the Finance and Purchasing Departments. To initiate any expenditure, the Research Expense Form (attached in Appendix 8) should be completed and submitted to ORI with all required supporting documents (e.g., quotations or invoices).

  Procurement & Financial Procedures: For all purchases that can be sourced from multiple vendors, the PI should coordinate with the Purchasing Department to obtain at least three quotations and attach them to the Research Expense Form. In cases where the required item or service is available from a single source only (such as datasets or specialized software), a single-source justification and an official invoice from the vendor will suffice. If a quotation includes multiple items but only specific items are required, the PI must coordinate with the Purchasing Department to obtain a revised quotation reflecting only the selected items prior to submission.

  Allowable Expenditures: Research equipment directly related to the project's objectives. Materials necessary for conducting experiments or analysis. Specialized software, licenses, or data access essential to the project. Data analysis, testing, translation, or professional services that are integral to research delivery. For fieldwork or data collection directly related to the project (not for conferences).

  Excluded Expenditures: Publication fees and conference attendance expenses are not covered under the IRG budget. These are handled through separate support programs administered by ORI.

- **4.3.1.6 Project Duration & Extension**
  The maximum project duration is 24 months (2 years). If the PI wishes to extend the project, a Project Extension Form (attached in Appendix 9) should be submitted to ORI at least two months before the project's scheduled end date. The extension request should include a clear and justified reason for the extension, an updated project timeline, and confirmation that the original research aims and topic will remain unchanged. ORI will review the request and communicate its decision to the PI. Approved extensions do not include any additional funding.
- **4.3.1.7 Monitoring & Reporting Requirements**
  Reporting Schedule: The first progress report is due six months after the contract signing date. Subsequent progress reports are required every six months for the duration of the project. Upon project completion, the PI should submit a final report detailing the research outcomes, deliverables, publications (if any), and full financial expenditure summary. Submission of the final report is a mandatory requirement for project closure and eligibility for future IRG cycles.

  Submission Process: ORI will send a reminder email to the PI two weeks before each report is due. The PI should submit the completed Progress Report form (attached in Appendix 10) to the VDRGS. The report should be signed by the PI and endorsed by the VDRGS. Progress reports are coordinated and received through the VDRGS.

- **4.3.1.8 Deliverables & Outcomes**
  Each funded project is expected to produce tangible research outcomes that contribute to the university's research priorities and strategic goals.

  Deliverables may include but are not limited to: Publications in reputable journals, ranked Q1 or Q2 in the Web of Science. Patents, prototypes, or software. Conference presentations. ORI encourages PIs to pursue external funding opportunities, building upon the results of IRG-funded research. Any publications or outputs arising from IRG support should acknowledge the financial support of Alfaisal University's ORI in all dissemination materials.

  - Example acknowledgment: "*The authors gratefully acknowledge the support of Alfaisal University, Office of Research & Innovation, through an Internal Research Grant (IRG #XXXXX).*"
- **4.3.1.9 Compliance & Closure**
  Faculty members who fail to utilize allocated budgets, submit required progress reports, or produce research outputs (e.g., publications or deliverables) from prior IRGs may be ineligible to apply for IRG funding. All equipment, workstations, databases, and any other assets procured using IRG funds are considered the property of ORI. These assets do not belong to the PI or to the college. Upon project completion, the PI should return all ORI-owned equipment and assets to ORI for inventory and reassignment. Faculty members who wish to continue using ORI-owned assets for a new research project may submit a formal request. ORI will review and may grant approval if the use aligns with the objectives of a funded project and supports institutional research priorities.
- **4.3.1.10 Communication & Contact Information**
  All inquiries or requests for clarification related to this policy shall be directed to ORI designated contact person: Ms. Safiah Labani. Email: slabani@alfaisal.edu For college-level coordination, faculty should communicate through their VDRGS.

4.3.2 President's Initiative Fund
Larger funding for faculty is provided through the *President's Initiative Fund (PIF)*. These are substantially highly competitive two-year (up to 500,000 SAR) grants. All proposals are initially reviewed by the respective College Research Committee (CRC) before being forwarded to the Office of Research & Innovation (ORI) which sends the proposals out for external review. The final review and approval are done by the VP for Research, Innovation & Graduate Studies in coordination with the ORI.

4.3.3 Financial Support of PhD Students' Research Supplies
This policy provides a framework for financial support of PhD students' research supplies to ensure successful completion of dissertation projects while maintaining accountability and alignment with institutional priorities. Support covers consumables, specialized reagents, small equipment, and services essential to the approved project. Each PhD student is eligible for up to SAR 150,000 over the duration of the program, disbursed in phases and tied to academic and research milestones. *Funds are allocated only for Alfaisal research, and not external entities such as KFSHRC. (UC Approval 14th Mtg 29 Sept 2025)*

- **4.3.3.1 Process for Support of Research Funds**
  Preliminary Research Support (Pre-Defense): Up to SAR 50,000 may be requested to generate preliminary data for proposal defense. Eligible costs include limited supplies, core facility fees, and small-scale experiments. Applications must include a short 3-page concept paper with objectives, methods, and budget, endorsed by the supervisor and PhD Program Director. Final approval is by the *Office of Research and Innovation (ORI).*
  Full Research Grant (Post- Proposal Defense): After successful proposal defense, students may apply for a standard *Internal Research Grant (IRG)* covering the balance of the allocation (up to SAR 150,000 including any preliminary support). Applications must include the approved proposal and detailed budget. Endorsements are required by the supervisor and external examiners of the proposal defense. Final approval rests with *ORI* and the *Vice President for Graduate Studies, Research & Innovation.*

- **4.3.3.2 Eligible & Ineligible Expenses**
  Eligible: reagents, kits, cell culture supplies, access to core facilities, small essential equipment, and data acquisition/analysis services.
  Ineligible: personal stipends, conference trips, office supplies, laptops, or unrelated expenses.
- **4.3.3.3 Application Process & Accountability**
  Preliminary Support: Submit a 3-page concept paper (objectives, methods, budget) endorsed by supervisor and Program Director; & with approval by ORI.
  Full Grant: Submit approved proposal and IRG with budget; endorsed by supervisor and external examiners; final approval by ORI and VP Graduate Studies, Research & Innovation.
  Financial Management: Funds are managed centrally by ORI. Procurement requests require supervisor approval and follow university finance and purchasing procedures.
  Annual Progress and Expenditure Reports: must be submitted to ORI for continued disbursement.
- **4.3.3.4 Oversight**
  This policy will be reviewed every three years by ORI and the Graduate School to ensure alignment with institutional goals and Vision 2030 priorities.

It is an Alfaisal University requirement that internal research funding results in research proposals submitted to outside research funding agencies, such as RDIA, and, ultimately, successful external funding of the faculty members' research activities. In addition, faculty members must show overall scholarly productivity (e.g. refereed journal papers which are indexed in ISI, TR, and Cabell's databases). All publications produced by Alfaisal faculty members must indicate an Alfaisal University affiliation. In addition, faculty holding IRG and/or PIF grants must clearly indicate financial support in the acknowledgement section of the manuscript. The following statement should be used: "Financial support from Alfaisal University through grant IRG/PIF number is gratefully acknowledged"

4.4 General Expense Request Policy

This policy governs general expense requests submitted by faculty members to the Office of Research & Innovation (ORI) that are not related to Internal Research Grants (IRGs) or any other awarded research funding. The purpose is to regulate discretionary, institutional, or research-support requests while ensuring transparency, consistency, and proper financial oversight.

4.4.1 Eligibility Criteria

Applicant Eligibility:
This policy applies to full-time faculty members of Alfaisal University. Applicants must submit requests for general expenses that support academic or research-related activities and are not funded through IRGs, publication funding, conference attendance funding, or external grants. Requests must demonstrate clear academic, research, or institutional justification aligned with the mission and activities of the ORI. Requests are considered subject to ORI priorities and budget availability and are not guaranteed. Approval of a request under this policy is discretionary and does not constitute a precedent or ongoing entitlement. Expenses incurred prior to formal approval are not eligible for coverage.

Eligible Expense Categories:

- *Consumables:* Items required for research-related academic activities or institutional research support.
- *Software:* Research, analysis, or academic software necessary for scholarly or institutional research purposes.
- *Equipment:* Research or academic equipment required for approved research-related activities.
- *Services & Specialized Analyses*: External services, technical analyses, or specialized support directly related to research or academic activities.
- *Maintenance:* Maintenance or servicing of research-related equipment previously approved or owned by university.
- *Other:* Research-support expenses not covered above, subject to ORI review and explicit justification.

All requested expenses must comply with university procurement and financial regulations. ORI reserves the right to reclassify, partially approve, or reject requests that do not clearly fall within an eligible category.

4.4.2 Review & Approval Process

Faculty members must submit a General Expense Request Form (attached in Appendix 11), to ORI prior to incurring any expenses. Upon receipt, ORI will review and evaluate the request for eligibility, justification, and budget availability. Requests may require endorsement or approval from Higher Management depending on their nature, scope, or financial implications. The applicant will be notified of the outcome in accordance with ORI priorities and applicable university regulations.

4.4.3 Processing Timeline

All general requests will be processed by ORI within 5–7 business days upon submission of complete documentation. Please note that this timeline covers ORI's internal processing only. Additional time may be required by the Purchasing Department (if applicable), Finance Department, or other relevant departments to complete procurement, payment, or related administrative procedures.

4.4.4 Compliance & Accountability

Faculty members are responsible for ensuring that approved expenses are used strictly for their stated purpose. ORI reserves the right to request supporting documentation or clarification at any stage. Misuse or misrepresentation of expenses may result in rejection of future requests or further administrative action.

4.4.5 Communication & Contact Information:

All inquiries or requests for clarification related to this policy shall be directed to ORI designated contact person: Dr. Zinab Elbashir. Email: zelbashir@alfaisal.edu

5. Research Centers and Chairs

The University aims to establish Research Centers and Chairs that are specific to priority research topics. Centers and Chairs will be externally funded. Each Center will have its own budget, research priorities and advisory group. The Office of Research & Innovation is responsible for circulating news about Centers and availability of Chairs.

6. Facilities and Laboratories

The university has a total of 118 laboratories, workshops and studios to support research and teaching (data from Dec 2023). Many laboratories have a dual function of both research and teaching (https://corelabs.alfaisal.edu/). In addition to its own research laboratories, the University also utilizes facilities at affiliate institutions and organizations such as KFSHRC, KACST and KAUST. These facilities are designated for use by both the University and respective party's faculty. Each facility has its own policies and criteria. The Office of Research and Innovation and College Deans are responsible for facilitating requests by Alfaisal faculty for the use of facilities and laboratories at collaborating institutions, and for making periodic announcements pertaining to availability. Oversight of laboratory usage is provided by a Laboratory Supervisory Committee which is chaired by the VP External Relations, and which has members from the colleges as well as Facilities Department (see section 6.1 for more details).

Research, teaching, and graduate education are major priorities of Alfaisal University that often require substantial infrastructure, including laboratory space. The space requirements for research activities can vary depending on the academic disciplines. Consequently, a university policy is required for colleges and departments to manage laboratory research and teaching space to make informed decisions regarding research space creation, allocation, renovation, or discontinuation. However, irrespective of the diverse needs of each academic discipline, some overarching principles regarding assignment of research space must be in place to help colleges and department to work under a central administration and to efficiently use the allocated laboratory space. Accordingly, the following guidelines were developed initially by an ad-hoc Alfaisal University Laboratory Policy and Structure

Committee and then revised by the Laboratory Supervisory Committee which was established in 2023 to plan and assign research and teaching space and align these decisions with the campus wide regulatory practices. College and departments of Alfaisal University should refer to these guidelines when allocating or assigning both sponsored and non-sponsored research space.

6.1 Laboratory Supervisory Committee Guiding Principles

A Laboratory Supervisory Committee was formed on 2 Sept 2023 by an Administrative Decision from the University President. The Committee was tasked with ensuring the optimal utilization of Alfaisal University laboratories to cater to various purposes, including facilitating teaching for both undergraduate and graduate studies, supporting research initiatives, and fulfilling obligations related to contracted projects. Guiding principles included:

- Any research space belongs to the institution and is a valuable resource. The President is ultimately responsible for the allocation of research space to colleges and departments.
- Research and teaching space is allocated based on program requirements and priorities as determined by the Laboratory Supervisory Committee, in consultation with the VP GRI, College Deans, Laboratory Managers and faculty and staff members.
- Colleges and departments are required to develop quantitative measures to assist in periodic evaluation of research space utilization and determine how the current allocation of research space meets their stated program requirements and priorities.
- Research space assignments are not permanent, and each space is assigned to activities and not individuals. Accordingly, any laboratory space is subject to reassignment as activities change.
- Teaching space in laboratories is dependent on scheduling of courses and is assigned through the Student Affairs Scheduling system.
- Any designated space that is currently vacant or deemed underutilized should be reassigned or repurposed. College and departments should have a clearly defined plan to improve the utilization of an existing or newly released space.
- Colleges and departments may decide to subsidize certain research activities that do not generate sufficient indirect cost recovery to fully support the infrastructure and space usage operating costs, based on their operating budgets and research priorities. However, the rationale and period for the subsidy must be clearly defined.
- Optimal use of research space includes shared use of all available resources and facilities.
- Research space assignments should be based on Alfaisal University existing facilities, where possible, to ensure that current facilities are fully utilized before pursuing any major construction or renovations. Space renovations must follow the college and university approval processes to ensure that space utilization meets the strategic needs of the college.
- Research space, equipment, and materials must adhere to all health and safety policies and procedures.
- Research conducted in Alfaisal University facilities must primarily support the university interests and relationships, with all research conducted adhering to the university conflict of interest policies.
- Research space allocation must adhere to the university policies that prohibit discrimination.

7. Student Participation in Research

7.1 Annual Research Day Student Poster Competition

One of Alfaisal's priorities is competence building by, for example, helping to develop a student's intellectual abilities. Student involvement in focused research that addresses real community problems links academic programs to the actual workplace through partnerships with the public/private sectors. This will help to equip students with critical thinking and problem-solving skills and thus allow them to better meet the needs of the workplace and the community. To achieve these aims an Annual Research Day Student Poster Competition has been held at Alfaisal University since 2009. The 1st competition in 2009 for example had 20 posters while the 16th competition held in 2025 had over 400 posters. Student's registered using an on-line application form (https://research.alfaisal.edu/poster-comp). The online system will automatically send a poster code to the email address of the corresponding student author. This code must be placed on the poster in the upper RHS in the

place indicated. All posters must be physically put up in the Venue (i.e., 1st floor hallways) one week before the competition and only on the whiteboard containing the specific poster codes. Students may submit a research paper in one of the following four categories:

- Business, Management & Law
- Engineering & Technology
- Medicine, Pharmacy & Health Science
- Science & Humanities

Any undergraduate or graduate student currently enrolled at a university is eligible to apply. Judging is done by groups of faculty judges in the respective categories. Each group evaluates up to 20 posters. The latter is a mini competition awarding 1st, 2nd and 3rd prizes from within the group of up to 20 posters. Winning posters are recognized at an Annual Research Awards Ceremony (https://research.alfaisal.edu/researchawards) with a small trophy, cash awards and group photos with the Senior University Administration.

Finally, it is the responsibility of the Primary Investigator (PI) (i.e., faculty) to ensure that students who participate in research are made aware of the ethical policies and procedures and that compliance must be maintained. See Institutional Review Board (IRB) (https://irb.alfaisal.edu/). An account of student involvement must be detailed in the research protocol to ensure that all safety measures and necessary precautions have been taken. Endorsement forms for participation of students in research must be signed by the PI and student(s) involved. Principal Investigators must acknowledge the contribution of students to their scholarship and research in all forms including Intellectual Works, Property, and Patents (as per section on Intellectual Property).

7.2 Dimensions Startup Studios for Innovation & Design Thinking

Alfaisal University's Startup Studios for Innovation & Design Thinking, Dimensions, is comprised of state-of-the art specialized services and programs that offer start-ups and early-stage businesses with the support and resources that young companies find difficult to access (https://dimensions.alfaisal.edu/). Assistance is provided with a complete ecosystem with full access to networks, investors and mentors, as well as co-working spaces alongside other businesses and experienced professionals.

Startup Studios provide specialized services and programs to help entrepreneurs turn their ideas into business success stories. The Studios give entrepreneurs access to dedicated resources like strategic partnerships and advice, market research and data analysis, and entry to specialized facilities and spaces. Entrepreneurs can also benefit from pitch and presentation preparation, regulatory guidance and compliance, access to potential customers through pilot programs and Demo Days, as well as technical advice and assistance. Startup Studios aim to provide entrepreneurs with the expertise, connections, and skills to take their ideas to the next level.

The Dimensions ecosystem is comprised of three state-of-the-art centers, the INVENT Center for Innovation and Design Thinking, SparkTank Incubation Startup Studios, and IMAGINARIUM Toys and Games Discovery Studios.

Services offered:

- *Co-Working Space:* A Space where students can make their dreams come true.
- *Funding:* Dimensions funds students to start developing their business.
- *Mentorship:* An expert answering questions.
- *Networking:* At Dimensions, networking is a major player to push start-ups.
- *Training:* Dimensions provides students with beneficial training.

Dimensions Startup Studios for Innovation & Design Thinking aims to create a vibrant innovation and technology ecosystem to deliver social and economic benefits to the Kingdom and its region; and connect stakeholders, facilitate knowledge transfer, and nurture talents to accelerate technological innovation and commercialization. To achieve this, the Startup Studio provides services to assist technology start-ups in their vulnerable inception stages, enabling them to grow and flourish. Advancing towards Vision 2030 with tangible goals, this business Startup

Studios for Innovation and Design Thinking, offer entrepreneurs the capacity to take a multifaceted approach to crafting the future. Here, innovative concepts become investments, products, services and companies, spearheading a lively, technological setting to generate positive social and economic gains. What is more, with help, entrepreneurs have access to capital and the opportunity to team up with scholars.

Our Mission: Fuel startup ingenuity with design thinking and technology to forge transformative solutions.

Our Vision: Shape a future where creativity and technology drive meaningful everyday enhancements.

Main objectives include:

- Empower entrepreneurs in key sectors for innovative growth.
- Cultivate innovation and collaboration in business creation.
- Drive economic growth and societal impact through partnerships.
- Equip healthcare entrepreneurs for societal innovations.
- Enhance learning and talent in Industry 5.0 for future advancements.
- Develop a global innovation ecosystem for sustainable progress.

7.2.1 Experimental and Discovery Studios for Encouraging Creative Thinking & the Entrepreneurial Spirit
Three experimental and discovery studios encourage creative thinking and embody the entrepreneurial spirit. Together, these three Studios offer a complete suite of resources to help students turn their ideas into tangible products and services. This forms part of the larger umbrella of the Dimensions Startup Studios, which provides a suite of services to support aspiring entrepreneurs and enable their dreams to come true.

Starting with concept creation, the Startup Studios for Innovation and Design Thinking aid with the idea validation process up until the actual launch of the product or service. Mentorship and resources focus heavily on the development and growth of the business, including the formulation of business plans, fundraising, marketing, legal advice, and financial planning. With the launch of the business and getting it off the ground, the Startup Studios for Innovation and Design Thinking helps with finding VCs, rent-free offices and labs, and access to a vast network of potential customers and partners. Regular events, talks and workshops are held to share knowledge, experiences, and best practices in the field of innovation and entrepreneurship.

7.2.2 INVENT Studios for Innovation & Design Thinking
INVENT's mission is to equip our community with the skills needed to become leaders in innovation, design thinking, and technology. Its Vision is to create a vibrant, global community of innovators, where individuals from all walks of life can come together and share their unique perspectives and expertise.

INVENT studios aim to help students and professionals who want to be creative problem solvers by reducing the risk of failing to solve challenges and enabling the innate human creativity and imagination to invent solutions that advance careers and create new jobs, services, and inventions. The studios allow for high-calibre design thinking. Innovation experts train students and professionals to create new and innovative ideas and solve problems.

Two leading in-house or on-demand services are offered to achieve its mission and commit to its core values. There are course-based and program-based Design Thinking Certificates (IDEATE and CREATE Studios). The second consists of consultation services for all government and private sectors (GENERATE Studio).

7.2.3 SparkTank Incubation Startup Studios
The SparkTank goal is to provide a supportive environment for entrepreneurs to launch and grow their businesses with access to professional mentors, training programs, and resources. From early concept development to full scale business implementation, the Spark Tank team is committed to ensuring every entrepreneur has the tools they need to succeed. Custom-tailored support programs are offered to help each business achieve its goals and reach its full potential. In addition to providing business guidance, financial, technological, and emotional support are also provided for entrepreneurs throughout their journey.

Services offered include:

- Management training
- Advisory services
- Access to capital sources (loans, grants, network of potential investors)
- Assistance with core business operations (accounting, market research, marketing, legal compliance)
- Access to office space and other operating resources (necessary software, hardware)
- Access to Dimensions full innovation ecosystem.
- Access to the Advanced Manufacturing Center, specialized labs in major fields of study: medical, engineering, business, science, law and international relations, among many others.

7.2.4 IMAGINARIUM Toys and Games Discovery Studios

This Studio stands at the forefront of toy and game innovation, merging play with purpose for a transformative user experience. Its mission is to cultivate creativity and foster innovation in toy and game design, offering a platform where visionaries can bring their playful inventions to life. At IMAGINARIUM, play is a serious business that shapes minds, builds communities, and transcends boundaries.

Services offered include:

- *Creative design workshops:* These sessions equip participants with the skills to ideate, prototype, and refine innovative toys and games.
- *Market readiness preparation:* Guidance on branding, marketing, and the regulatory aspects of toy and game development to ensure successful market entry.
- *Networking opportunities:* Connections to industry leaders, potential collaborators, and markets to facilitate the growth and visibility of new products.
- *Access to testing labs:* Facilities to test and perfect physical-digital play products in real-world scenarios.
- *Linkages within the Dimensions innovation ecosystem:* Collaborations with Spark Tank Incubation Startup Studios and INVENT Studios for holistic product development and innovation support.

8. Intellectual Property

8.1 Definitions

This policy Words or expressions shall have the same meanings defined herein unless the context otherwise requires:

Advisory Committee: means, Advisory Committee of IP in Alfaisal University, and may be either permanent or ad hoc, i.e., for a specific project, its duties in accordance with (Annex B).

Assignment: Transfer of patent ownership and intellectual property rights.

AUCRCS: Alfaisal University Center for Research and Consultancy Studies.

Conception: The formation in the mind of the inventor of a definite and permanent idea of the complete and operative invention, as it is thereafter to be applied in practice.

Deductible Expenses" means all ALFAISAL UNIVERSITY's out of pocket costs incurred for the assessment, legal protection, maintenance (including maintenance fees for patents in all jurisdictions, when applicable), marketing and commercialization (including start-ups, proof of concept, venture capital investment, expenses and legal costs associated with entity formation) of ALFAISAL UNIVERSITY Intellectual Property, and including, but not limited to, taxes, government fees and the costs of any legal proceedings by or against ALFAISAL UNIVERSITY (including any costs or damages assessed against ALFAISAL UNIVERSITY in any such proceedings).

Inventors and Authors: persons who have contributed to conception of the subject matter as described in at least one claim in the patent application, and members of the ALFAISAL UNIVERSITY Community - individuals or groups - who conceive, reduce to practice, author or create Intellectual Property, or who qualify as inventors and authors under the intellectual property laws of any country where ALFAISAL UNIVERSITY may file for legal protection of Intellectual Property.

Intellectual Property (IP): Refers to creations output of the human mind – everything from works of art to inventions, computer programs to trademarks and other commercial signs, it means for example, but not limited to all (1) inventions (whether patentable or unpatentable and whether or not reduced to practice), and all improvements thereto, (2) patents, patent applications, patent disclosures, utility models, utility model applications and utility model disclosures and industrial models; (3) trademarks, service marks, trade names, domain names and logos, and all goodwill associated therewith; (4) works of authorship, copyrights, whether registered or unregistered (including copyrights in software), “moral” rights and applications for copyright registrations; (5) confidential and proprietary information, or non-public processes, procedures, trade secrets, designs, drawings, specifications, technology, know-how, techniques, algorithms, databases and data collections, formulas, concepts, developments, improvements, marketing plans, ideas and technical data and information, and all software; (6) all moral and economic rights of authors and inventors, however denominated; (7) divisions, continuations, continuations-in-part, renewals, reissuances, and extensions of the foregoing (where applicable); and (8) any similar or equivalent rights to any of the foregoing, throughout the world.

King Faisal Foundation: means King Faisal Foundation established by royal decree that owns Alfaisal University.

Licensing When a patent is licensed, an agreement is made between the patent owner (or the licensor) and the person or company that wants to use and benefit from the patent (the licensee). The licensor legally permits the licensee to use the patent that belongs to the licensor under specific conditions.

Material Transfer Agreement (MTA) A contract that governs the transfer of tangible research materials between two organizations, when the recipient intends to use it for his or her own research purposes.

Member ALFAISAL UNIVERSITY Community: means all persons who shall be bound by this Policy, namely, all ALFAISAL UNIVERSITY personnel and employees (including faculty, staff, and research scientists), post-doctoral fellows, teaching assistants, students and other persons (such as visiting faculty, visiting scholars, visiting students, and visiting postdoctoral fellows) who intend or may participate in ALFAISAL UNIVERSITY research or utilize ALFAISAL UNIVERSITY funds, facilities or resources.

ORI: Office of Research and Innovation

Owner The entity who has authority to file patent applications and act in a pending application.

Patent An exclusive right granted by a governmental entity for an invention.

Reduction to Practice Developing the patent beyond conception and toward a viable proof-of-concept.

Tangible Research Property means all tangible items produced during research or other projects supported by Alfaisal University or external sponsors.

The University or Alfaisal University is Alfaisal University, a "non-profit university".

TTO Technology Transfer Office at Alfaisal University

8.2 Introduction

This policy Intellectual property (IP) plays an essential role in both the research and teaching functions of universities and PRIs. This includes IP created by universities and third-party IP that they use in their work.

An effective IP policy will:

- provide legal certainty, protecting the intellectual property rights of the university and the community of Alfaisal University.
- nurture an environment that supports and encourages innovation and development.
- encourage researchers to consider the possible opportunities for exploiting an invention to increase the potential flow of benefits to society.
- facilitate the creation of public-private partnerships to support economic development.
- encourage mutually beneficial relationships with other institutions.
- balance the various conflicting interests of the university, industry and society; and ensure compliance with applicable national laws and regulations.
- The university avoids intentional or spontaneous violations of the intellectual • property rights of others.

This document aims to set out clear requirements for determining the rights and obligations of ALFAISAL UNIVERSITY, and ALFAISAL UNIVERSITY Community and third-party sponsors of research at ALFAISAL UNIVERSITY, as follow:

- Organizing the general basics of the intellectual property policy and define and describe the mandate of the Technology Transfer Office at Alfaisal University.
- specify the policy for the Technology and/or Intellectual Property ownership and management, as well as general approach for commercialization of technology and intellectual property.
- detail general framework for the University's engagement with internal and external entities, and lists basic forms required.
- ownership of and right to use the IP
- procedures for identification, evaluation, protection and management of IP
- procedures for cooperation with third parties.
- Guidelines for profit-sharing resulting from successful exploitation.

In accordance with the above, unless otherwise noted, the terms Technology and Intellectual Property are interchangeable.

8.3 The Technology Transfer Office

This policy The Technology Transfer Office is the entity responsible for all aspects of technology and Intellectual Property (IP) creation, management, transfer and release at Alfaisal University.

Mandate: Scope of the TTO mandate are as follows

- Develop, maintain and update programs for technology and IP management and transfer.
- Identify, evaluate and commercialize disclosed technology and IP in a periodic
- manner.
- Maintain complete records of all disclosed IP and material transfer agreements.
- Educate and motivate members of Alfaisal University on Technology Transfer and IP aspects.

Values: In all its handlings, the TTO operation will be as follows:

- Aligned with efforts aimed at the realization of the Kingdom's vision and aspirations.
- Abiding by the laws, regulations, and values of the Kingdom.
- Strategically evaluating, protecting, and licensing intellectual property rights of Alfaisal University and its members.
- Not including technology with any potential or apparent harm.

Composition: A Director will oversee and manage the operation of the TTO appointed by Alfaisal University and will report directly to the VP for Office of Research and Innovation (ORI).

The main TTO structure duties will include the following:

- Technology identification, assessment and filing (protection).
- Technology and IP record management and marketing.
- Technology marketing. (For more details, please see Section 8:30 Annex A. TTO)

Designated Authority. Alfaisal University is responsible for managing, executing the intellectual property policy at Alfaisal University and represents, the university in all the policy issues that affect the university's relations with the community of Alfaisal University, government, private entities and others. It has the right to manage this policy and to grant Delegations and Authorities.

Technology Transfer Office. Reporting to the ORI, the Director is charged with leading the Technology Transfer Office (TTO) with carrying out the responsibilities described below and elsewhere in this Policy: a) Develop and implement an Intellectual Property management and technology transfer program to help achieve ALFAISAL UNIVERSITY ’s economic development goals; b) Identify, evaluate and commercialize disclosed Intellectual Property and report periodically thereon to the ORI; c) File patent applications and other legal registrations as may be necessary to protect ALFAISAL UNIVERSITY Intellectual Property to be filed with the relevant authorities in a timely manner; d) Facilitate and integrate, in consultation with the Office of ORI, the negotiation and drafting of all Intellectual Property related agreements across ALFAISAL UNIVERSITY and its subsidiaries ; e) Report and account for Gross and Net Revenue derived from ALFAISAL UNIVERSITY Intellectual Property and report to the ORI and the Director of Finance and Director of Human Resources as directed; f) Ensure that ALFAISAL UNIVERSITY meets all Intellectual Property related commitments that are contained in research contracts, licenses and other agreements; g) Maintain complete records of all disclosed Intellectual Property and material transfer agreements; h) The Director is to serve as secretary of the ALFAISAL UNIVERSITY Intellectual Property Advisory Committee and deliver quarterly performance and accountability reports to the Committee; i) Educate the ALFAISAL UNIVERSITY Community, government and private entities in Saudi Arabia about intellectual asset management and innovation; j) Assure that all technology transfers and exchanges of information comply with import and export control laws; and, k) Perform other duties as may be assigned by the University and the ORI and the University.

Intellectual Property Advisory Committee. The ALFAISAL UNIVERSITY shall assist and advise the TTO and ORI with managing all aspects of Intellectual Property at ALFAISAL UNIVERSITY in accordance with its Charter, the university establishes a temporary or permanent advisory committee and determines its powers and term of membership in accordance with the indicative Annex (B) (Section 8:31).

Approvals and Signature Authority. All Intellectual Property terms and conditions in any University agreement and under the responsibility of the TTO shall be approved by the Director after review by a lawyer in the university if the IP terms in the agreement are materially different from the principles laid down in this Policy or those approved by the ORI or the TTO. An exception must be obtained from the advisory committee, except as to legal form, the various material transfers, non-disclosure agreements and, nonmonetary assignments, Intellectual Property registration and management documents, and all license, option, and related technology transfer agreements in accordance with the Schedule of Delegations and Authorities that need approval from the university.

Policy Application, Exceptions, and Limitations. This Policy applies to all members of the ALFAISAL UNIVERSITY Community, and shall be deemed a condition of: (i) employment for ALFAISAL UNIVERSITY personnel (including faculty, adjunct faculty, staff, and research scientists) and post-doctoral fellows (ii)enrollment by all students, and (iii) admittance by all others, including visitors, including those of faculty, adjunct faculty, research scientists, post-doctoral fellows, and scholars, who may or intend to participate in research at ALFAISAL UNIVERSITY or use of ALFAISAL UNIVERSITY funds, facilities or resources. This Policy shall not be interpreted to limit ALFAISAL UNIVERSITY ’s ability to meet its obligations under any contract or grant or other thirdparty agreement of any kind.

8.4 General Process for Technology Transfer

The general progression for Technology Transfer will proceed as follows, although steps may vary in sequence and timing:

Pre/Disclosure and Assignment – First steps involve the inventor disclosing the invention to the University and signing an assignment agreement to the University. In instances where research and/or innovation projects are undertaken, the inventor would indicate the potential of technology and/or IP generation within the project.

Assessment – Following disclosure, the inventor, a TTO representative and the advisory committee will review the invention disclosure, conduct patent searches, and analyze commercialization viability of the technology and/or IP. This stage also involves the verification of the resources and entities involved in the creation of the technology, and the verification of the University ownership (be it in part or full).

Protection – This stage involves taking steps towards the protection of the technology and/or IP, be it through local or international patent offices.

Marketing and/or Commercialization – This stage involves either the presentation of the patent publicly for possible licensing, or the establishment of a startup to oversee the commercialization of technology.

Patent and Revenue Management – This involves record-keeping and periodic assessment of the University owned technologies as well its equities and funding of ongoing startups or companies. Furthermore, this stage involves the management of any resulting revenue (whether through licensing or commercialization) once the University's investment has been recovered. Through all the above, the TTO will act in an expedient matter that preserves the rights and potential gains ofthe University and its members.

8.5 Intellectual Property Policy

This policy recognizes Intellectual Property (IP) as an invention and/or material that may be protected under a patent, trademark, and/or copyright laws, or by a contract. The IP policy follows SAIP regulations, was sent to the university Lawyer through the Advancement Office and has been approved (2022). Considerations for IP concepts and/or "technology" includes, but is not limited to, the following:

- Inventions, whether patentable or unpatentable, and whether reduced to practice, and all improvements thereto.
- Patents, patent applications, patent disclosures, utility models, utility model applications, and utility model disclosures.
- Trademarks, service marks, trade names, domain names and logos, and industrial models, and all goodwill associated therewith.
- Works of authorship, copyrights, whether registered or unregistered (including copyrights in software and datasets), "moral" rights and applications for copyright registrations.
- Confidential and proprietary information, or nonpublic processes, procedures, trade secrets, designs, drawings, specifications, technology, know-how, techniques, algorithms, databases, data collections, datasets, formulas, concepts, developments, improvements, marketing plans, ideas, and technical data and information, and all software.
- All moral and economic rights of authors and inventors, however denominated.
- Divisions, continuations (in part or in whole), renewals, reissuances, and extensions of the foregoing (where applicable).
- Any similar or equivalent rights to any of the foregoing throughout the world.

8.6 Ownership

Unless otherwise noted, to the extent permitted by applicable law or any agreement, and without prejudice to the right of the inventor, all Technology and/or Intellectual Property conceived, first reduced to practice, authored or

created, in whole or in part, by one or more members, sponsored affiliates, or commissioned entities, during their stated responsibility to Alfaisal University, and/or with more than incidental use of Alfaisal University facilities or resources, is the property of Alfaisal University.

Exception for Traditional Academic Works: Subject to any agreements with third-party sponsors and collaborators, members of the ALFAISAL UNIVERSITY Community shall own all rights to their Traditional Academic Works. However, ALFAISAL UNIVERSITY shall have a perpetual, non- exclusive, royalty free license to use such Works for research and educational purposes.

Copyright Notice: All published works of authorship shall bear a copyright notice composed and affixed in accordance with Saudi Arabian law and international copyright treaties to which Saudi Arabia is a signatory. ALFAISAL UNIVERSITY - owned materials shall bear the notice: ([year of publication]) Alfaisal University. All Rights Reserved; or such other notice, as may be required by law. No other academic division, research center or other name may be used in the copyright notice, although the name and address of ALFAISAL UNIVERSITY may be listed below the notice.

If any members of the university community accepts to join it, they agree that this policy will apply to them.

The TTO is responsible for all aspects of managing the University intellectual property. TTO&IP staff are always available to discuss the intellectual property implications of work and to provide guidance and answer questions with respect to the University Intellectual Property Policy, as well as the ins and outs of disclosure, evaluation, patenting and licensing.

Title to such Technology and/or Intellectual Property shall be assigned to Alfaisal University immediately upon conception, reduction to practice, or creation.

Alfaisal University ownership excludes prior work, e.g., Intellectual Property owned prior to joining Alfaisal or prior to engaging in work with Alfaisal University. However, where prior work is used towards work at Alfaisal University, funded or otherwise, the inventor must grant Alfaisal University, an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property.

Towards this end, newly recruited members shall disclose all owned prior work to the TTO&IP within one month of joining Alfaisal University, regardless of expected use or further development while at Alfaisal University.

By law, Alfaisal University ownership further extends to any Intellectual Property conceived, first reduced to practice, authored or created, in whole or in part, by one or more members of its members, sponsored affiliates, two years after departing Alfaisal University. Towards this end, a departing member shall disclose any pending work as part of any exit procedures.

Whereby the Intellectual Property was developed by an employee without the support of Alfaisal University, and where the development is not made during the employee's working hours at Alfaisal University, the Intellectual Property becomes the property of the employee. In such cases, the employee may seek Alfaisal University's support to fund the protection and/or the commercialization of the Intellectual Property, and the Intellectual Property will be subject to assessment by Alfaisal University.

After assessment, if Alfaisal University decides not to pursue protection, commercialization or support of an invention, and where the interests of a third party are not infringed upon, Alfaisal University's interests shall be released to the inventor provided that the university has the right and authority subject to an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property.

Further elaborations on ownerships are discussed in the section on Framework for Engagement with Third Parties.

8.7 Students

Intellectual Property developed by a student at Alfaisal University, whether as part of course work, senior (capstone project), thesis and/or dissertation; and made using Alfaisal University facilities and/or funds, is the property of Alfaisal University.

Where student work is funded, in part or in whole, by a sponsor external to Alfaisal University, ownership will be subject to assessment and review of terms of agreement with the external sponsor.

In all cases, a student shall initially disclose to the TTO any resulting Intellectual Property, and must grant Alfaisal University an irrevocable, perpetual, royaltyfree, nonexclusive, worldwide right to the use of the Intellectual Property.

For graduate students, an embargo shall be enacted on all thesis and/or dissertation until an assessment is made of the thesis work for possible patenting. Such an embargo supersedes the student's during the assessment period. Accordingly, such assessments will be expedient, and shall weigh the tradeoffs between prolonging the embargo, protection expenses, and/or gains from reporting findings in typical research venues. Where assessment determines possibility of patenting, the graduate student will be asked to submit a formal disclosure to the TTO.

Whereby the Intellectual Property was developed by a student without the support of Alfaisal University, and where the development is not made during the student's working hours at Alfaisal University, the Intellectual Property becomes the property of the student. In such cases, the student may seek Alfaisal University's support to fund the protection and/or the commercialization of the Intellectual Property, and the Intellectual Property will be subject to assessment.

Where upon assessment Alfaisal University does not want to pursue protection or commercialization or support of an invention, and where the interests of a third party are not infringed upon, provided that the University shall have the worldwide irrevocable, perpetual, royalty-free right and authority, nonexclusively towards the use of intellectual property.

Students involved in an effort leading to the development of Intellectual Property shall be, in all relevant aspects, treated by the TTO and Alfaisal University in the same manner as non-students involved.

8.8 Exceptions

At the university's discretion, and with its interests and its members fully minded, Alfaisal University may establish exemptions to the ownership policies set out in this policy.

8.9 Duty to Disclose

An inventor member at Alfaisal University is obliged to promptly disclose the development or the viability of development of an Intellectual Property to the TTO&IP. Unless otherwise noted or agreed upon, such Intellectual Property shall be assigned solely to the University. Whereby the Intellectual Property was the result of funding external to Alfaisal University or made through an Alfaisal University partnership with a third part, ownership will be determined through review of prior agreements through assessment. In all cases, however, the obligation to disclose to the TTO stands.

Whereby the Intellectual Property was developed by an employee or a student without the support of Alfaisal University, and where the development is not made during the employee's or student's working hours at Alfaisal University, and where the University upon assessment agrees to management the Intellectual Property, the obligation to disclose to the TTO stands. Alfaisal University's support, minding its interests, shall be at its discretion. Where Alfaisal University accepts the management of such Intellectual Property, the obligation to disclose to the TTO stands, and the property shall be assigned to the University.

8.10 Confidentiality and Conflict of Interest

Where any patentable Intellectual Property is involved, and to ensure the success of the protection and commercialization stages, Alfaisal University, its members, the TTO and the inventor shall exercise confidentiality at all stages of technology transfer. Throughout the technology transfer process, the inventor is further obliged to disclose any nominal, emerging and potential conflicts of interest deemed relevant to the Intellectual Property at hand.

8.11 Disclosure and Evaluation of Intellectual Property

8.11.1 Mandatory Disclosure

All Intellectual Property made by members of the ALFAISAL UNIVERSITY Community must be disclosed to the TTO Director in a signed written document in an approved format ("Invention Disclosure Form"), even those believed by the Inventors or Authors to be unrelated to their ALFAISAL UNIVERSITY duties and not involving the use of ALFAISAL UNIVERSITY funds, resources or facilities. Disclosure must be made as soon as practicable and must comply with any applicable others agreement. Disclosures shall completely and accurately convey all relevant information in a thorough and timely manner and shall be signed by all Inventors and Authors. At the time of disclosure, and continuing thereafter, Inventors and Authors shall promptly: (1) disclose all potential conflicts of interest in accordance with the ALFAISAL UNIVERSITY Faculty and Staff Member Conflict of Interest and Conflict of Commitment Policy; and (2) disclose to the TTO Director any known information, including prior art reference(s), that may be reasonably expected to be material in the examination of a patent, utility model, design, or trademark application, directed to his or her invention, work or creation, or to be material to a determination of originality of a work to be protected by copyright.

8.11.2 Disclosure of Intellectual Property Upon Exit

The University departing member shall disclose any pending work upon as part of exit procedures.

8.11.3 Stance on Public Disclosures

TTO mandate is to advise and support the commercialization of technology and Intellectual Property, especially where benefits can be identified to Alfaisal University, the inventor, and the society. The inventors' right to freely publish their creations and findings shall hence neither be limited nor restricted. Alfaisal University further acknowledges and supports the role of all forms of open or public copyright and/or licenses, and inventors' right to allow such access remains at the inventor's full discretion. Notwithstanding, inventors are advised to consult the TTO prior to such public disclosures, especially in cases of high potential for commercialization. Where an invention has been disclosed to Alfaisal University, and the University has agreed to manage the Intellectual Property, the decision to publicly disclose the technology will be solely at the University's discretion.

8.12 Other Categories of Intellectual Property

8.12.1 Trademarks

ALFAISAL UNIVERSITY shall have sole ownership and right to register, use and display trademarks and domain names incorporating any trade designation, word, device, or logo, or industrial models, or any variant thereof of ALFAISAL UNIVERSITY or any other ALFAISAL UNIVERSITY Trademark Intellectual Property. Filing of any application or adoption by use of any other Trademark, similar or related to any trade designation, trademark, word, name, device or logo of ALFAISAL UNIVERSITY, according to ALFAISAL UNIVERSITY 's Name, Logo and Trademark Policy, by any person seeking possible protection through trademark registration, business name registration, or use must submit the request for approval with an appropriate justification. No member of the ALFAISAL UNIVERSITY Community may use or alter ALFAISAL UNIVERSITY 's name, trade designations, word marks, devices, trademarks or logos to designate or endorse any goods or services, without the prior written approval of the university. The TTO Director may register and manage trademarks that are developed to commercialize or license Intellectual Property.

8.12.2 ALFAISAL UNIVERSITY Confidential Information

ALFAISAL UNIVERSITY Intellectual Property disclosures, legal documents, research results and certain proprietary

business information may have commercial or legal value when held confidentially (“Confidential Information”). Proprietary information arising out of ALFAISAL UNIVERSITY work, including, but not limited to, terms of research agreements, financial arrangements or confidential business information shall be retained in confidence to the extent required to effectively conduct business. Confidential Information should be disclosed to third parties only under the terms of a non-disclosure agreement or as otherwise may be approved by the TTO Director or the University. The ALFAISAL UNIVERSITY Community shall adhere to the following when handling Confidential Information: a) Research in progress, unpublished research results and proprietary information received from others shall be treated with care and with due regard for potential patentability and the confidentiality obligations attached thereto. Written records must be kept of the date, the identity of the recipient and the extent of disclosure of any of the foregoing information. b) Information received by ALFAISAL UNIVERSITY from others under a confidentiality agreement may only be disclosed within ALFAISAL UNIVERSITY to persons having a need to know such information. c) In limited circumstances and in furtherance of ALFAISAL UNIVERSITY ’s strategic interest, the TTO Director and ORI may, hold and commercialize unpublished information as a trade secret in countries where trade secrets are legally protected.

8.13 Commercialization

The TTO&IP may pursue commercialization of Alfaisal University technology through viable means, including but not limited to technology or Intellectual Property licensing, assignment, and/or establishing an affiliate to the University. At the TTO’s discretion and through assessment, the TTO may also be sought to commercialize technology not owned by Alfaisal University.

Where Alfaisal University technology and Intellectual Property is involved, the University shall be the sole responsible entity responsible for handling all legal agreements, including license and or assignment, be it exclusive or non-exclusive, and creating affiliate companies. In all cases, the TTO’s decision to commercialize a technology is independent from the decision to own or protect, and neither decision should be understood to imply the other.

8.14 Licensing and Assignment

All Technology and Intellectual Property owned by Alfaisal University shall undergo a continuous, periodic assessment of potential. The TTO shall work to publicize and promote technology owned by the University. This can be made through self-contained descriptions on the TTO website, or through dedicated portfolios and/or brochures.

The decision as to whether to license or to assign a technology shall bear in mind the interests of the University and the technology inventors. This includes moral, legal, and financial considerations, in addition to considerations for potential harm or hazard.

If the TTO decides that it will longer maintain the protection for a technology or an Intellectual Property, nor consider it for commercialization, it shall release the technology to its inventors. In such instances, the release will be subject to an irrevocable, perpetual, royalty-free, nonexclusive, worldwide right to the use of the Intellectual Property by Alfaisal University.

8.15 Startups

The university has discretion in the creation of a startup. However, the TTO may be sought to support the creation of the startup, or, upon assessment, extend an offer to support the creation of the startup. TTO’s assessment for creating or supporting the formation of a startup shall bear in mind the strategic interests of the TTO or Alfaisal University and shall decide on whether Alfaisal will invest in the formation, and whether this investment will be made towards equity. Notwithstanding, the decision, extent and type of support remains at the University full discretion. At university discretion, the TTO may accept an equity in a startup it created in exchange for costs incurred in protection and management of the technology or Intellectual Property. At university discretion, the TTO

may also base the startup on one or more technologies owned by Alfaisal University. Where the startup involves technology not owned by Alfaisal University, the TTO shall work to satisfy the necessary moral, legal and financial obligations.

8.16 Inventor Role

An inventor shall support the highest success for all efforts made in protecting, managing or commercializing the inventor's technology or Intellectual Property.

These obligations include but are not limited to:

- Not interfering with or jeopardizing TTO's efforts.
- Observe necessary confidentiality measures.
- Disclose consequent technology and/or conflicts of interests.
- Avoid legal disputes adversely affecting TTO's efforts.
- Refrain from acting on behalf of Alfaisal University or the TTO in any agreements, access to facilities, or acquiring technology or Intellectual Property.

Meanwhile, the inventor's role prior, during, and after the creation of a startup based on the inventor's technology, as well as any considerations for compensation and/or title position, shall not impact the inventor's core duties and/or obligations at Alfaisal University. It is a good practice to have the University Community sign a written agreement that clearly addresses the duties and the issue of ownership of rights in such cases.

8.17 Revenue Considerations

The TTO shall act to identify, calculate and distribute any revenue resulting from its commercialization activity in an accurate and expedient manner. Prior to any revenue distribution, the TTO shall recover all costs incurred by Alfaisal University at all stages of technology transfer, including but not limited to pre-disclosure funding, management, protection, promotion, and/or startup support. Such costs span direct monetary expenditure as well as in-kind, i.e., supplies, use of facilities, or staff support.

The revenue to be distributed is hence the net revenue (or net income), i.e., gross revenue (or income) less all costs incurred by Alfaisal University. Where a third party has supported an aspect or more of the development or the transfer of the technology, or where the technology has been the outcome of work commissioned by the TTO or Alfaisal University, revenue considerations shall be bound by initial agreements, as discussed in the section on Framework for Engagement with Third Parties. Finally, all financial aspects of the TTO shall be liable to audit and governance by Alfaisal University.

8.18 Net Revenue Shares

The net revenue shall be distributed in the manner described in Table 2.

Table 2. Net Reve nue Distribution

Net Revenue (SAR)	0 to 200,000	200,001 to 400,000	Above 400,000
TTO Administrative Fee	15%	15%	15%
Alfaisal University	15%	25%	35%
Inventor	70%	60%	50%

Where multiple inventors are involved, the TTO shall default to distributing the "Inventor" share equally among the inventors. Where a student is involved in the invention, the student shall be regarded as equal to all other inventors. Where all inventors agree to a non-equal distribution, or where all inventors agree to recognize a non-inventor in the distribution of the net revenue, such agreement must be overseen and documented by the TTO.

8.19 Intellectual Property Transactions and Revenues

8.19.1 Authorized Transactions

The TTO Director is responsible for protecting, managing and commercializing Intellectual Property owned by ALFAISAL UNIVERSITY or in which ALFAISAL UNIVERSITY has a beneficial interest, and ensuring that technology transfer practices further and advance ALFAISAL UNIVERSITY's economic development mission. The Director, in consultation with ALFAISAL UNIVERSITY, is to use reasonable professional care in discharging these responsibilities. Due to changing laws, markets, and the nature of new technology itself, the Director is authorized, after obtaining written approval from the university and after appropriate due diligence, to exercise discretion and flexibility to implement such practices and negotiate such agreements as may be required to achieve the purposes of this Policy. For example, the Director may grant to third parties various rights to research results, Tangible Research Property and Intellectual Property for appropriate compensation and under other terms as may be prudent to further ALFAISAL UNIVERSITY's economic development mission, including assignment of ALFAISAL UNIVERSITY Intellectual Property rights in whole or in part to third parties subject to approval by the ALFAISAL UNIVERSITY.

8.19.2 Payments to Inventors and Authors

It is the intent of ALFAISAL UNIVERSITY through this Policy to incentivize Inventors, Authors and other stakeholders to participate in technology transfer and economic development by sharing with them Net Revenues, obtained by ALFAISAL UNIVERSITY from the commercialization of Intellectual Property. Individual Inventors and Authors shall receive a percentage of the Net Revenue that was received and obtained by ALFAISAL UNIVERSITY from the transfer of rights in the respective Intellectual Property they individually created. Any remaining Net Revenue shall be dispersed to the University and used at the discretion of the university. Where there is more than one Inventor or Author, the percentage of Net Revenue allocated for payment to the Inventors or Authors shall be divided equally among the various Inventors or Authors unless the participants have unanimously agreed otherwise in writing.

8.19.3 Payment Terms

Payments shall be subject to all laws of the Kingdom of Saudi Arabia and other countries when applicable and in accordance with other agreements. ALFAISAL UNIVERSITY shall not be responsible for accounting for or reporting such payments for tax purposes. Compliance with all tax laws and any liability under such laws shall be the responsibility of persons receiving payments (The Beneficiary). In the event of the death of a payee, such payments shall continue to their successors in interest, estates or heirs to the extent permitted under the laws of Saudi Arabia.

8.20 Institutional Responsibility

The TTO Director shall always act in ALFAISAL UNIVERSITY 's strategic interest to ensure that Intellectual Property attains the maximum benefit to ALFAISAL UNIVERSITY and the Kingdom of Saudi Arabia. The King Faisal Foundation shall have sole discretion within the constraints of this Policy and available resources to determine which Intellectual Property shall be patented, registered or otherwise legally protected and, when appropriate, how it may best be maintained and transferred. In any case of Intellectual Property disclosed under this Policy, ALFAISAL UNIVERSITY shall not be obligated to any individual Inventors (members) and Authors to seek legal protection for any Intellectual Property, e.g., by filing a patent application, waive or transfer the rights to the Intellectual Property, seek any financial terms or to institute or defend any legal proceedings.

8.21 Framework for Engagement with Third Parties

The TTO is solely responsible within Alfaisal University to oversee all agreements involving the development and/or transfer of technology or intellectual property. In doing so, the TTO is bound by the elements of its mandate and adheres to the values set out above. Furthermore, in all its handling, the TTO shall be mindful and protective of the interests of Alfaisal University and its members and affiliates. Towards this, all TTO agreements, in template or in final, shall be subject to review by either Alfaisal University's Legal Department.

Where in any interaction with a third party a member of Alfaisal University contributes to the development of a technology or Intellectual Property, the University becomes the default owner, unless otherwise stipulated in the agreement.

8.22 Non-Disclosure Agreement (NDA)

Prior to any engagement with a third party whereby technology development or transfer is discussed, the TTO shall establish and document a Non-Disclosure Agreement (NDA). This requirement extends to TTO's designates or those acting, upon permission, on the TTO's behalf.

TTO's engagement in a NDA shall identify the following, among other things.

- The parties involved
- The starting date and duration of the agreement
- The parameters of disclosure, such as,
    - o Extent of access
    - o Extent of use
    - o Extent of further development
    - o Extent of replication
- Individuals involved in the disclosure
- Consequences of disclosure during the term of agreement
- Consequences of disclosure after the term of agreement concludes
- Governing law(s) and/or jurisdiction(s)

8.23 Material Transfer Agreement (MTA)

Prior to any engagement with a third party whereby material (elaborated upon below) is transferred either to or from Alfaisal University property and/or ownership.

The reference to material herein includes but is not limited to

- Consumables
- Equipment
- Compounds
- Prototypes
- Model
- Designs
- Data

TTO&IP's engagement in an MTA shall identify the following, among other things.

- The parties involved,
- The starting date and duration of the agreement
- A sufficiently detailed listing of the material transferred
- An identification of the material ownership
- The cost of the material transferred (where applicable)
- The permitted use(s) of the materials
- Considerations for the results of use including but not limited to
    - Ownership
    - Licensing
    - Revenue
- Consequences of breach during the term of agreement
- Consequences of breach after the term of agreement
- Governing law(s) and/or jurisdiction(s).

Where TTO's identifies the need to emphasize confidentiality over the material transferred, the MTA shall be coupled with and linked to an NDA.

8.24 External Funding

Whereby third-party funds the development of a technology or Intellectual Property by members of Alfaisal University, the TTO shall work to identify and enforce mutually acceptable terms for the ownership, licensing and/or commercialization of the technology.

8.25 Consultancy

Consultancy agreements shall be overseen by Alfaisal University Center for Research and Consultancy Studies. By the center policy, a member of Alfaisal University shall not engage in any consultancy activity without prior consideration and approval of the center.

In general, a consultancy agreement shall not impede with the consulting member core duties and/or obligations at Alfaisal University, nor be at conflict of Alfaisal University's interests.

TTO's role in consultancy agreements is to enforce Alfaisal University's policy regarding the development and management of technology and/or Intellectual. Property. Where the Alfaisal Center for Research and Consultancy Studies identifies a possibility for the development of a technology and/or Intellectual Property, the consultancy agreement shall be reviewed by the university.

A consultancy agreement overseen by the TTO shall identify the following, among other things:

- The parties involved
- The nature of the parties involved (government, nonprofit, for profit, etc.)
- The starting date and duration of the agreement
- The nature of activity
- Terms of compensation, if any
- Considerations for the results of consultancy including but not limited to:
    - Ownership
    - Licensing
    - Revenue
- Consequences of breach during the term of agreement
- Consequences of breach after the term of agreement
- Governing law(s) and/or jurisdiction(s).

Where compensation is involved in the consultancy agreement, the Alfaisal University standing policy on overhead applies.

Prior, during, and after the term of agreement, the consulting member shall be mindful and protective of the interests of Alfaisal University and its members and affiliates.

8.26 Use of Facilities

All agreements involving the access and/or use of facilities, whether or not toward the development or transfer of technology, shall be overseen by the TTO. Considerations include but are not limited to investigation, testing, or assessment of technology, as well as the involvement of the time and/or expertise of members of Alfaisal University.

The reference to material herein includes but is not limited to

- Space
- Consumables
- Equipment

- Compounds
- Prototypes
- Model
- Designs
- Data

A “Use of Facilities Agreement” overseen by the TTO shall identify the following, among other things.

- The parties involved,
- The starting date and duration of the agreement
- A sufficiently detailed listing of the facilities used
- The cost for the use of facilities
- The permitted use(s) of the facilities
- A listing of the third-party members involved in the use
- A listing of members of Alfaisal University involved in the use
- Considerations for compensations of the Alfaisal University members involved
- Considerations for the results of use including but not limited to
    - Ownership
    - Licensing
    - Revenue
- Consequences of breach during the term of agreement
- Consequences of breach after the term of agreement
- Governing law(s) and/or jurisdiction(s)

8.27 Collaborations and Partnership

At the university discretion, the TTO may seek or be sought for collaboration and/or partnership in the development or transfer of technology, or the funding thereof. Towards this, the TTO shall identify and enforce the relevant parameters of the agreement, especially with regards to ownership, licensing and revenue.

Where third-party funds all direct and indirect costs, as well as any premiums stipulated by Alfaisal University, the third party may be entitled to ownership of technology and/or Intellectual Property developed. Where a member of Alfaisal University contributes to the development of technology and/or Intellectual Property during collaboration and/or partnership, the university may allow for joint ownership.

Clauses to the effect of the above shall be stipulated in initial agreements struck prior to commencing the collaboration and/or partnership.

8.28 Commissioned Work

Prior to Where the TTO sees fit to commission the development of IP or a technology, Alfaisal University becomes the owner of the IP rights for the developed technology.

8.29 Dispute Resolution and Appeal

Notice of Dispute. If one or more of (members) Inventors or Authors (“Claimant”) objects to ALFAISAL UNIVERSITY ’s ownership of Intellectual Property or any other interpretations of this Policy, he or she may file a notice of claim in writing with the TTO Director. The Claimant shall provide all information and documentation that may be helpful to a full and fair resolution of the issues, including: (i) the circumstances under which the Intellectual Property originated; (ii) the scope of the Claimant’s employment duties at the time it originated; and (iii) any other documentary evidence supporting the claim. The Claimant shall bear the burden of proving his or her ownership or rights to the Intellectual Property in question. The TTO Director shall respond to Claimant in writing within Thirty (30) calendar days after receiving the written notice of claim.

Appeal. In the case of an adverse decision by the TTO Director, Claimant may, within fifteen (15) calendar days after being notified in writing of the Director's decision, make a written appeal to the ALFAISAL UNIVERSITY. The ALFAISAL UNIVERSITY shall reasonably consider all materials submitted by the Claimant and conduct such review and investigation as it deems reasonably necessary. The committee shall promptly render a decision in the matter in writing to the Claimant.

Exceptions and Amendments. Exceptions to this Policy. In an individual case, the King Faisal Foundation (KFF) may make an exception to this Policy where to do so would be fair and equitable to the ALFAISAL UNIVERSITY Community or in the strategic interests of ALFAISAL UNIVERSITY. KFF may, upon notice to the UNIVERSITY, make such amendments to this Policy as he deems to be in the interest of ALFAISAL UNIVERSITY.

8.30 The Technology Transfer Office

The University shall form a Technology Transfer Office (TTO) that is to function with autonomy and with independence from other offices or units in the University impacted by this policy. The TTO's mandate is to oversee all matters related to Intellectual Property in the University and in accordance with this policy.

8.31 Guidelines for Establishment of Advisory Board

The University shall form an advisory council for Intellectual Property on either a temporary (ad hoc) or permanent basis. The University shall stipulate its mandate, scope and authority such that it serves the University's IP policies and procedures.

A possible formation of the advisory council can be as follows:

1. Vice President for Research and Innovation. Chair
2. Director of the Finance Department. Member
3. Director of the Legal Affairs Department. Member
4. Associate Vice President for Research and Innovation Member
5. Technology Transfer Manager Member
6. Faculty Member, Member
7. Faculty Member, Member
8. Researcher Member

Role of the Advisory Board

In addition to the powers and duties assigned to the Advisory Board in this policy, the Board shall undertake the following tasks.

1. Advising university on matters related to inventions and Intellectual Property.
2. Reviewing complaints and grievances related to this policy and its scope and offering opinions or recommendations.
3. Reviewing the annual report of the TTO and any other related reports and offering an opinion on them.
4. Reviewing any recommendations regarding the amendment of this policy and the rules, procedures, and plans based on it, and offering an opinion on them.
5. Reviewing the feasibility of acquiring any strategic technologies of the university-owned by others through Intellectual Property rights, whether by purchasing or licensing them, and offering recommendations in this regard.
6. Recommending the distribution of the revenues of any Intellectual Property waived or licensed to third parties to inventors as suggested by this policy.
7. Recommending the disbursement of incentive rewards to innovators and owners of scientific achievements from university employees, according to the regulations proposed by the Intellectual Property Management Office.
8. Any other tasks assigned by university concerning Intellectual Property

9. Appendixes

9.1 Appendix 1 Conference Attendance Application Form

Conference Attendance Request Form

Request No:

APPLICANT DETAILS:

Name:		Academic Rank:	
College:		Department:	

CONFERENCE DETAILS:

Conference Name:			
Conference Website:			
Affiliated Society:			
Associated Journal:		Journal Quartile:	
Location (City, Country):		Dates:	

SUBMISSION DETAILS:

Title:	
Presentation Mode:	☐ Oral ☐ Poster ☐ Other (Please Specify):
Expected Publication Outcome:	☐ Journal ☐ Conference Proceeding ☐ Both ☐ Other (Please Specify):
Attachments:	☐ Proof of Acceptance or Invitation Letter ☐ Copy of the Paper or Abstract

DECLARATION:

I hereby certify that all the information provided in this form is true, complete, and accurate to the best of my knowledge. I understand that any incorrect or incomplete information will result in the rejection of my application.

Signature: Date: ...../...../.....

APPROVALS:

COLLEGE DEAN APPROVAL:

Name:	Signature:	Date:
		...../...../.....

ORI Decision: ☐ Recommended ☐ Not Recommended ☐ Partial Amount: _____

Vice President of Finance & Admin:	Signature:	Date:
Dr. Khaled Alkattan		

9.2 Appendix 2 Publication Fee Support Form

Publication Fee Support Form

Request No:

APPLICANT DETAILS:

Applicant Name: | **College:**

Alfaisal ID: | **Date:** ...../...../.....

ARTICLE DETAILS (according to Web of Science):

Journal Name:

Quartile Ranking: ☐ Q1 ☐ Q2 **Impact Factor:**

AUTHORS DETAILS:

First Author: Affiliation:

Corresponding Author: Affiliation:

Co-author (only if you are the requester): Affiliation:

FINANCIAL DETAILS:

Requested Amount (as per the invoice, with currency):

Payment Type:

Documentation (based on the selected payment type):

☐ **Reimbursement to the Applicant**
1. Original invoice from the journal.
2. Proof of payment from the bank.
3. Published article.
4. Bank account information if the payer is a **student**.

☐ **Direct Payment to the Journal**
1. Published article or the galley proof.
2. Original invoice from the journal.
3. Payment link if not included in the invoice.

APPROVALS:

ORI Director: Dr. Ahmed Abuzaid | **Signature:** | **Date:** ...../...../.....

ORI Admin: | **Comments (if any):**

Vice President of Finance & Admin: Dr. Khaled Alkattan | **Signature:** | **Date:** ...../...../.....

9.3 Appendix 3 IRG Proposal Evaluation Form

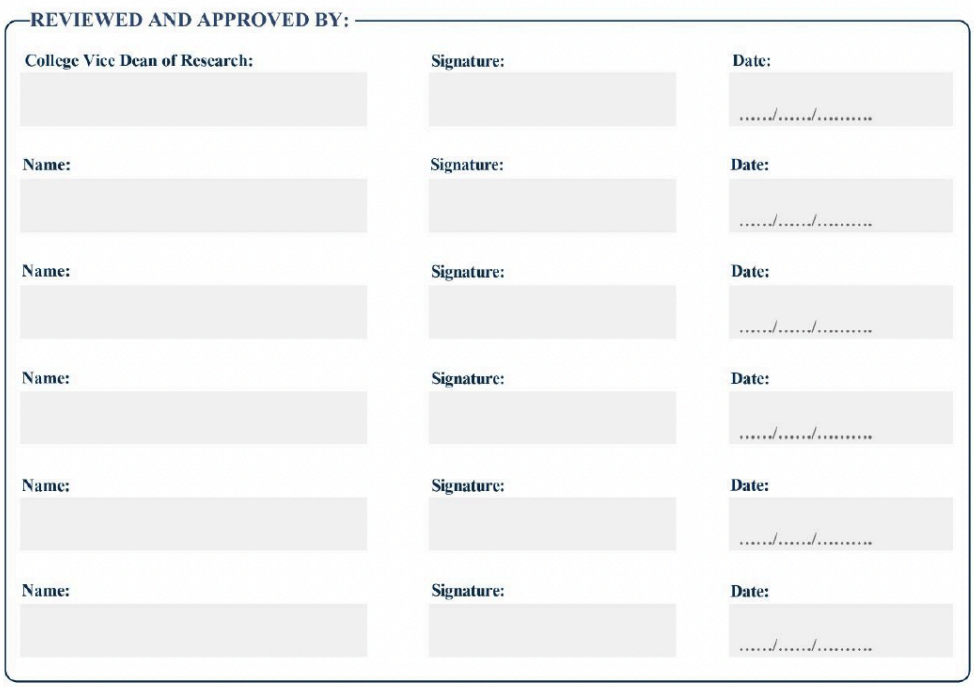
IRG Evaluation Form

APPLICANT & PROJECT DETAILS:

Project Title:			
Applicant Name:		**Date:**	...../...../.....
College:		**Department:**	
Project Duration:		**Requested Budget:**	

EVALUATION:

EVALUATION CRITERIA	ASSESSMENT	COMMENTS (IF ANY)
Strategic Alignment Alignment with University strategy, college priorities, and national research agendas	☐ Strong ☐ Adequate ☐ Weak	
Scientific / Scholarly Merit Overall quality, rigor, and intellectual contribution of the proposed research	☐ Strong ☐ Adequate ☐ Weak	
Feasibility & Work Plan Realistic scope, timeline, and deliverability within the grant period	☐ Strong ☐ Adequate ☐ Weak	
Research Team & Capability Principal Investigator and team's expertise, capacity, and track record	☐ Strong ☐ Adequate ☐ Weak	
Expected Outcomes & Impact Likelihood of high-quality publications and meaningful academic or societal impact	☐ High ☐ Moderate ☐ Low	
Budget & Value for Money Reasonableness of requested budget and efficient use of internal funding	☐ Good ☐ Acceptable ☐ Poor	
Compliance, Ethics & ORI Requirements Submission of all required documentation and compliance with Office of Research & Innovation (ORI) policies, procedures, and ethical requirements	☐ Fully compliant ☐ Minor issues ☐ Major concerns	
Overall Proposal Quality Integrated assessment of coherence, quality, and institutional value	☐ Excellent ☐ Good ☐ Weak	

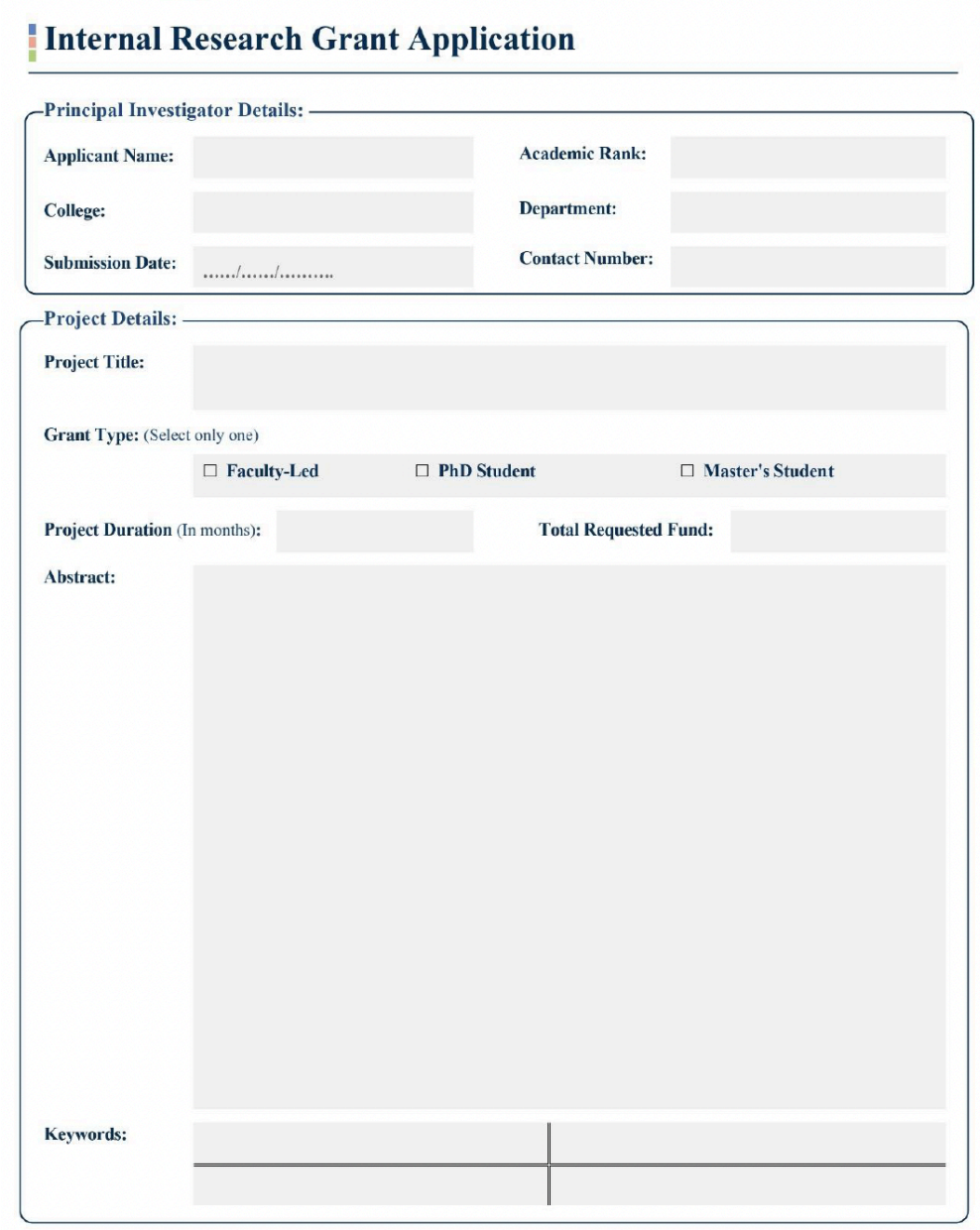


9.4 Appendix 4 Research Themes & Priorities

Theme	Sub-Theme		Sub-Theme	
1. Energy Systems	Advanced energy production and management technologies	1.1	Technologies for smart- and microgrid	1.2
	Innovations in circular economy	1.3		
2. Food and Environment	Advances in water desalination and management	2.1	Innovations in sustainable design	2.2
	Technologies for food management and processing	2.3		
3. Advanced Manufacturing and High-Value Materials	Agile prototyping and manufacturing	3.1	Drug manufacturing and delivery systems	3.2
	Materials modeling, synthesis, and analysis	3.3	Modeling, assessment, and deployment in Industry 4.0	3.4
4. Health and Pharmaceuticals	Advanced cancer diagnostics and treatments	4.1	Outreach and impact in public health	4.2
	Advances in drug design and discovery	4.3	Disease prevention and treatment	4.4
	AI and data science in healthcare	4.5	Transplants	4.6
	Biotechnology	4.7	Infectious diseases	4.8
	Genetics	4.9	Chronic diseases	4.10
5. Digital Technologies	Advanced connectivity, sensing, and actuation	5.1	Cybersecurity and blockchain	5.2
	Applications of AI and data science	5.3	Robotics and x-Reality	5.4
6. Urban and Logistics	Advances in logistics and supply chains	6.1	E-commerce and integrated logistics	6.2
	Optimizing transportation operations in Saudi Arabia	6.3	Smart cities transport and logistics	6.4
	Transport sustainability	6.5	Building resilient logistics networks	6.6
7. Human Capital	Enhancing skills and values of human capital	7.1	Studies in job market equity and accessibility	7.2
	Studies in heritage and culture	7.3		
8. Economy and Privatization	Economies of healthcare systems	8.1	Localized economic development	8.2

Theme	Sub-Theme		Sub-Theme	
	Innovation and entrepreneurship studies	8.3		

9.5 Appendix 5 IRG Application Form



Internal Research Grant Application

Principal Investigator Details:

Applicant Name:		**Academic Rank:**	
College:		**Department:**	
Submission Date:	...../...../.....	**Contact Number:**	

Project Details:

Project Title:

Grant Type: (Select only one)

☐ **Faculty-Led** ☐ **PhD Student** ☐ **Master's Student**

Project Duration (In months)**:** **Total Requested Fund:**

Abstract:

Keywords:

9.6 Appendix 6 IRG Contract

Internal Contract between Faculty Member and Office of Research & Innovation

PI & PROJECT DETAILS:

PI Name:		**Alfaisal ID:**	
College:		**Department:**	
IRG Title:			
IRG Project No:		**Approved Budget:**	
Duration:		**Starting Date:** ...../...../.....	**Ending Date:** ...../...../.....

PROJECT PROGRESS REPORTS:

First Progress Report Date:	...../...../.....	**Second Progress Report Date:**	...../...../.....
Third Progress Report Date:	...../...../.....	**Final Progress Report Date:**	...../...../.....

WITH THIS "CONTRACT" THE PI AGREES TO THE FOLLOWING:

COMPLIANCE AND REGULATORY REQUIREMENTS

- The project shall comply with all applicable University policies, including research integrity, ethics, financial regulations, and intellectual property policies.
- Where applicable, all necessary ethical and regulatory approvals must be obtained prior to commencing the research and maintained throughout the project duration.

FINANCIAL MANAGEMENT AND USE OF FUNDS

- The Internal Research Grant funds shall be used solely for the approved research project and in accordance with the approved budget and the University's financial policies. Any changes to the budget require prior written approval.
- The approved budget reflects an estimate of anticipated expenses; however, it does not imply that the full allocated amount must be spent. If lower-cost alternatives are available or certain items are no longer needed, the Office of Research and Innovation (ORI) reserves the right to review and approve expenditures accordingly to ensure budget efficiency and proper utilization of funds.
- Failure to utilize the allocated budget, unjustified delays in expenditure, or misuse of funds may result in recovery of funds.

PROJECT IMPLEMENTATION AND OVERSIGHT

- The research project shall be completed within the approved project period. Any request for extension must be formally submitted with justification and is subject to approval.
- The ORI reserves the right to monitor the progress of the project and request additional information, documentation, or clarification at any stage.
- Progress reports shall be submitted every six months throughout the project duration.

REPORTING AND RESEARCH OUTPUTS

- You agree to submit all required progress and final reports within the specified timelines and in the format prescribed by the ORI.
- You commit to producing tangible research outputs resulting from the funded project, including but not limited to publications, presentations, or patents, and to acknowledge the ORI's support in all related outputs.

INTELLECTUAL PROPERTY

- Intellectual property arising from the research project shall be governed by the University's Intellectual Property Policy.

CONSEQUENCES OF NON-COMPLIANCE

- Failure to submit required reports, properly utilize the allocated budget, or produce research outputs may result in ineligibility to apply for future internal research grants, in accordance with University policy.

PROJECT BUDGET:

ITEM	DESCRIPTION	COST (SAR)
Software		
Equipment		
Consumables		
Research Assistant		
Other		
Grand Total		

PI DECLARATION:

☐ I hereby declare that I have read and understood the terms and conditions outlined in this IRG contract. I acknowledge my responsibility to conduct the proposed project in accordance with these terms, including adhering to the ethical guidelines and reporting requirements.

PI Signature: **Date:** ...../...../.....

APPROVALS:

ORI Director: Dr. Ahmed Abuzaid **Signature:** **Date:** ...../...../.....

Vice President of Finance & Admin: Dr. Khaled Alkattan **Signature:** **Date:** ...../...../.....

9.7 Appendix 7 Budget Reallocation Form

Budget Reallocation Request Form

APPLICANT & PROJECT DETAILS:

Project No:		**Date:**	...../...../.....
Applicant Name:		**Alfaisal ID:**	

DETAILS:

Original Approved Budget:

ITEM	DESCRIPTION	COST (SAR)
Software		
Equipment		
Consumables		
Research Assistant		
Other		
Grand Total		

Requested Budget Adjustment:

ITEM	DESCRIPTION	COST (SAR)
Software		
Equipment		
Consumables		
Research Assistant		
Other		
Grand Total		

Justification for Budget Reallocation:

PI DECLARATION:

☐ I confirm that the requested changes are necessary for the successful completion of the project and that this request does not involve any increase to the total approved budget.

APPROVALS:

ORI Director:	**Signature:**	**Date:**
Dr. Ahmed Abuzaid		...../...../.....
ORI Admin:	**Comments (if any):**	

9.8 Appendix 8 Research Expense Form

Internal Research Grant Expenses Form

Request No:

MRS No:

APPLICANT & PROJECT DETAILS:

Project No: Date: ...../...../.....

Applicant Name: Alfaisal ID:

TYPE OF INTERNAL RESEARCH GRANT (IRG):

☐ Faculty-Led ☐ PhD Student ☐ Master's Student

ITEM PURCHASED (select only one):

☐ Consumables ☐ Equipment ☐ Software ☐ Other

DETAILS:

Description of Purchased Item(s):

Selected Vendor:

Number of Quotations:

Total Price (with VAT):

APPROVALS:

COLLEGE VICE DEAN OF RESEARCH APPROVAL:

Name: Signature: Date: ...../...../.....

ORI APPROVAL:

ORI Director: Dr. Ahmed Abuzaid Signature: Date: ...../...../.....

ORI Admin: Comments (if any):

Vice President of Finance & Admin: Dr. Khaled Alkattan Signature: Date: ...../...../.....

9.9 Appendix 9 Project Extension Form

Project Extension Request Form

APPLICANT & PROJECT DETAILS:

Project No:		**Date:**	...../...../.....
Applicant Name:		**Alfaisal ID:**	

PROJECT DURATION DETAILS:

Original Project Start Date:	...../...../.....	**Duration of Extension:**	
Original Project End Date:	...../...../.....	**Requested New End Date:**	...../...../.....

EXTENSION DETAILS:

Justification for Extension:

FINANCIAL STATUS:

Total Awarded Budget:		**Total Spent to Date:**	

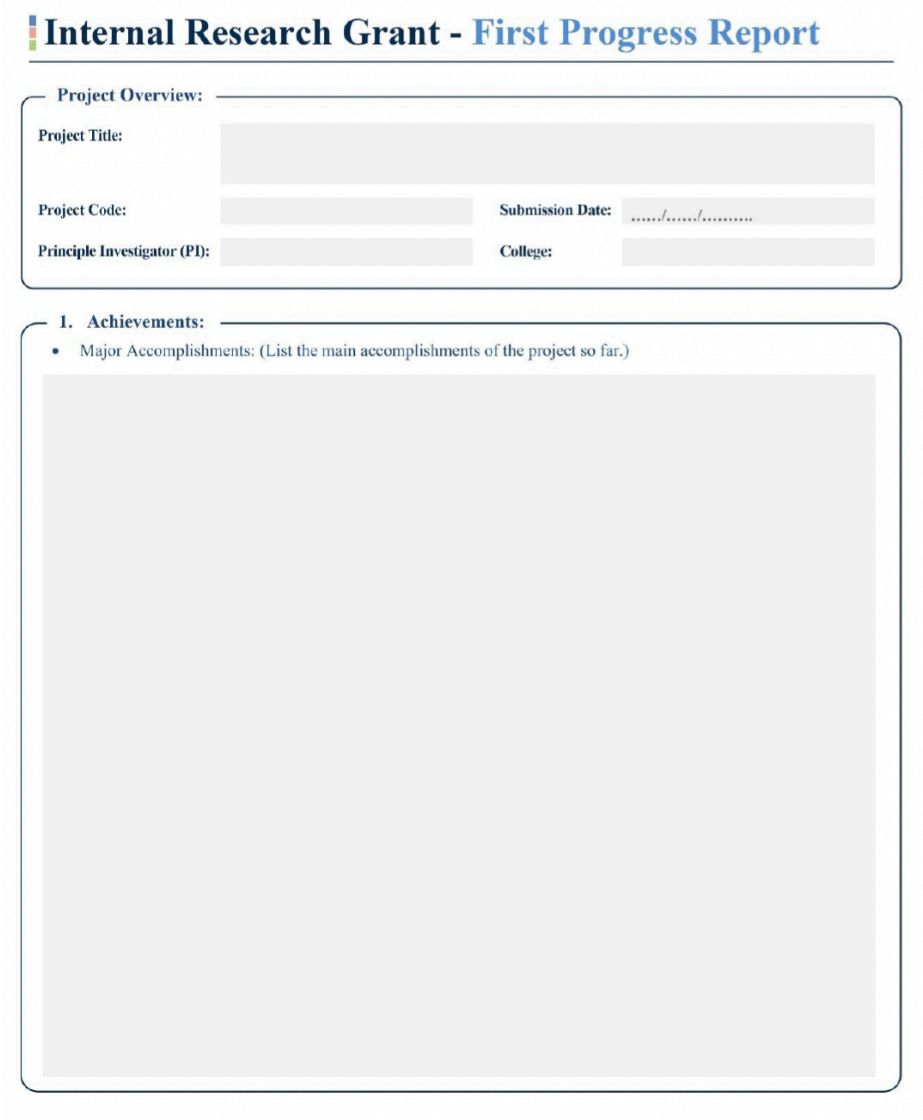
PI DECLARATION:

☐ I confirm that the requested changes are necessary for the successful completion of the project and that this request does not involve any increase to the total approved budget.

APPROVALS:

ORI Director:	**Signature:**	**Date:**
Dr. Ahmed Abuzaid		...../...../.....
ORI Admin:	**Comments (if any):**	

9.10 Appendix 10 Progress Report Form



Internal Research Grant - First Progress Report

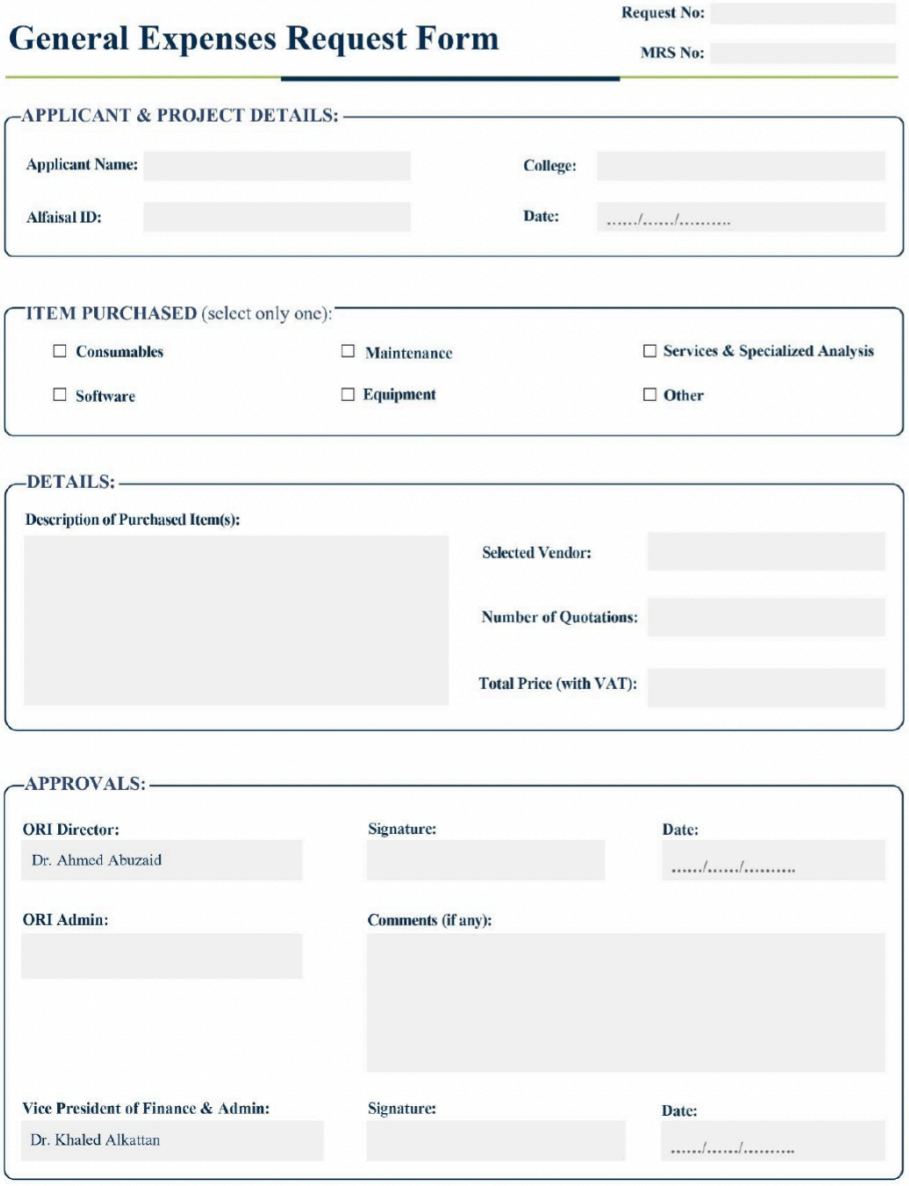
Project Overview:

Project Title:			
Project Code:		**Submission Date:**	...../...../.....
Principle Investigator (PI):		**College:**	

1. Achievements:

- Major Accomplishments: (List the main accomplishments of the project so far.)

9.11 Appendix 11 General Expense Request Form



General Expenses Request Form

Request No:

MRS No:

APPLICANT & PROJECT DETAILS:

Applicant Name: College:

Alfaisal ID: Date: ...../...../.....

ITEM PURCHASED (select only one):

☐ Consumables ☐ Maintenance ☐ Services & Specialized Analysis

☐ Software ☐ Equipment ☐ Other

DETAILS:

Description of Purchased Item(s):

Selected Vendor:

Number of Quotations:

Total Price (with VAT):

APPROVALS:

ORI Director: Dr. Ahmed Abuzaid Signature: Date: ...../...../.....

ORI Admin: Comments (if any):

Vice President of Finance & Admin: Dr. Khaled Alkattan Signature: Date: ...../...../.....

Quality Assurance and Accreditations

Guidelines on Data Reporting for Academic Programs -QA001

Policy Code

QA001

1. Introduction

The purpose of this guideline is to standardize data reporting of cohort analysis, retention rate, and graduation rates for academic programs at Alfaisal University. Accurate tracking of student progress and graduation outcomes is critical for institutional planning, accreditation reporting, and continuous improvement initiatives. The document outlines the standard procedure for cohort formation, monitoring protocols, calculation formulas, and analytical frameworks to create harmony across all academic units at Alfaisal University.

Cohort analysis is a powerful analytical approach that tracks groups of students (cohorts) from the time they enter through to graduation or departure from the institution. This longitudinal analysis allows the university to understand student patterns of progress, identify drivers of academic achievement, and implement targeted interventions to improve student performance. The principal benefits of robust cohort analysis are as follows:

- **Data-informed decision making:** Providing administrators and faculty with concrete data to inform curriculum planning, resource planning, and support service planning
- **Early identification of students at risk:** Enabling timely academic intervention before students fall behind irretrievably
- **Benchmarking performance:** Facilitating legitimate comparisons across programs, colleges, and peer institutions nationally and internationally
- **Accreditation compliance:** Adhering to the reporting requirements of organizations such as the National Center for Academic Accreditation and Assessment (NCAAA), Ministry of Education (MOE), and international accreditation agencies
- **Strategic planning:** Supporting the development of evidence-based retention and completion activities that complement institutional strategic goals

2. Definitions

- **Cohort:** A specific group of students who enter university during the same academic year and are tracked over time for graduation or other outcomes.
- **Retention Rate:** The percentage of first-year undergraduate students who continue at the program the next year to the total number of first-year students in the same year
- **Graduation Rate:** The percentage of a cohort of undergraduate students who complete their degree program within a defined period (typically 100%, 150%, or 200% of the expected program time). This is also often referred to as the **Completion Rate**.
- **First-Time Undergraduate Students:** Students entering a degree program for the first time (excluding transfer students).
- **Fall Cohort:** Students who enroll for the first time in the Fall semester (primary cohort for reporting).
- **Cohort Analysis:** Refers to tracking a specific group of students who begin a given year in a program and follow them until they graduate (How many students actually started the program and stay in the program until completion).

3. Cohort Analysis

Cohort analysis enables the university to:

- Monitor student progression, retention, and completion trends over time.
- Identify patterns among different student groups (e.g., by college, program, gender, nationality).
- Support academic advising, intervention programs, and policy development.

Common Metrics in Cohort Analysis:

- First-year retention rate
- Second-year retention rate
- Average time to degree completion
- Graduation rates at 4, 6, and 8 years
- Attrition rates

4. Retention Rate Calculation

- Retention rates are calculated based on the number of students who started the program and continued in the program in the following year as shown in the below formula.

Formula:

$$\text{Retention Rate} = \frac{\text{Number of students continued in the program to the next year (Fall of } 2^{nd} \text{ year)}}{\text{Number of first-year students admitted to the program (Fall of } 1^{st} \text{ year)}} \times 100$$

5. Graduation Rate Calculation

- Graduation rates are calculated based on the number of students who graduate within a specific timeframe:
- **100% Timeframe:** Graduate within the program minimum time (e.g., 4 years for a standard 4- year bachelor's degree programs and 6 years for applied programs such as Bachelor of Medicine, Bachelor of Surgery).
- **150% Timeframe:** Graduate within 6 years for a standard 4-year degree program.
- **200% Timeframe:** Graduation within 8 years for a standard 4-year degree program.

Formula:

$$\text{Graduation Rate} = \frac{\text{Number of students graduated from the program within the time frame}}{\text{(Number students graduated + Number of Active Students)}} \times 100$$

6. Reporting and Benchmarking

- Graduation rate data should be calculated, updated, and reported annually for each program.
- Benchmarking against national, regional, and international standards is encouraged to assess performance and competitiveness.
- Reports should be prepared for internal use (academic departments, senior leadership) and external stakeholders (MOE, accreditation agencies).

7. Quality Assurance and Review

- Data collection processes will be audited regularly for accuracy and consistency.
- Methods of cohort tracking and graduation rate calculation should be reviewed periodically to align with best practices and regulatory requirements.

Portfolios Submission Policies and Procedures -QA002

Policy Code

QA002

Introduction

The submission of course, program, and college portfolios is crucial to maintaining the university’s compliance with national and international accreditation standards. These submissions are integral to the continuous Plan-Do-Check-Act (PDCA) improvement cycle, which is essential for the planning, implementation, evaluation, and enhancement of academic programs. The Department of Accreditation and Quality Assurance (DAQA) is moving toward streamlining the submission process of critical digital academic and administrative documents. This document outlines the policies and procedures for the submission of course, program, and college portfolios to the DAQA Quality Shared Folder. The shared folder is a secure, local-network drive exclusively accessible to only authorized Alfaisal University staff.

Policy Statement

All Alfaisal University Faculty and staff are required to adhere to the guidelines set forth by DAQA for submitting the following key documents via the Quality Shared Folder:

1. **Course Portfolio**
2. **Program Portfolio**
3. **College Portfolio**
4. **Program Accreditation Submissions**

The Quality Shared Folder is designed to ensure the security, integrity, and timely submission of these documents. Access within each college is restricted to the Accreditation and Quality Assurance (AQA) Vice Dean and authorized personnel, ensuring that only qualified individuals manage the submission process. DAQA members have full access to review and manage these documents, thereby ensuring compliance and quality assurance across the university.

Policy Objective

The primary purpose of this policy is to ensure that Alfaisal University meets the standards required for accreditation and quality assurance. The submission process, anchored in the PDCA (Plan-Do-Check-Act) cycle plays a critical role in the university's commitment to academic excellence, continuous improvement, and institutional effectiveness. Proper submission and documentation are vital to maintaining accreditation, achieving strategic goals, and fostering an environment of accountability and transparency.

Stakeholder Engagement

The successful implementation of this policy requires active engagement from all relevant stakeholders, including faculty, administrators, and staff. Regular feedback will be solicited through scheduled internal audits and meetings to ensure that the policy remains responsive to the needs of the university community. Stakeholders will be involved in periodic reviews of the policy to ensure its ongoing relevance and effectiveness.

1. **Course Portfolio Submissions**
   The Course Portfolio is a comprehensive documentation showcasing the design and execution of a particular course and includes all the crucial elements necessary for the successful execution of the course throughout the term. Course portfolios afford a comprehensive yet efficient means of documenting the intellectual work of teaching a particular course and to make recommendations for course improvement. Through such a portfolio, faculty members document the design and execution of a particular course, including results in student learning. In this way, teaching can be understood and presented as a form of scholarship, utilizing the accountability through peer review that already exists in higher education.
   - Procedure**:**
     - **Step 1:** Faculty members must submit all the Course Portfolio documents to the respective Course Coordinators.
     - **Step 2:** Course Coordinators will then review and consolidate these documents, submitting the completed Course Portfolios to the Chair of Department/ Department Quality Committee.
     - **Step 3:** The Program Quality Committee, in collaboration with the Department Chair, will audit the Course Portfolio according to the Course Portfolio Checklist and prepare an audit report.
     - **Step 4:** The Chair of the Department will submit the approved Course Portfolios along with the corresponding reports to the AQA Vice Dean.
     - **Step 4:** The AQA Vice Dean will validate and upload Course Portfolios and Audit Reports to the DAQA Quality Shared Folder no later than week 18 of each term.
2. **Program Portfolio Submissions**
   The Program Portfolio is a comprehensive and meticulously organized documentation that encapsulates the design, implementation, and continuous improvement of a specific academic program at Alfaisal University. It includes critical elements necessary for the program's success throughout the academic year, such as the

approved curriculum, program specifications, annual reports, program KPIs, improvement action plans, research and community service activities, and assessments of program learning outcomes. Additionally, it contains detailed records of internal audits, council meetings, stakeholder survey results, etc. Each document is validated by key academic leaders within the college, ensuring the portfolio's integrity and alignment with national and international accreditation standards.

- Procedure**:**
  - **Step 1:** Program Director and Quality Committee need to gather and prepare all the Program Portfolio documents and submit them to AQA Vice Dean.
  - **Step 2:** The AQA Vice Dean will ensure that the Program Portfolios for each program are correctly uploaded to the DAQA Quality Shared Folder no later than October 31st of each academic year.

3. **College Portfolio**

   The College Portfolio is an extensive compilation of documents that represents the strategic direction, operational practices, and continuous quality improvement activities within a college at Alfaisal University. This portfolio serves as a crucial resource for assessing the college's alignment with institutional goals, accreditation standards, and overall performance metrics. It includes vital documentation such as the updated strategic and operational plans, which reflect the college's objectives and the steps taken to achieve them. The portfolio also contains annual reports that provide a comprehensive overview of the college's accomplishments, challenges, and areas for improvement over the past academic year.

   In addition to these strategic elements, the College Portfolio includes detailed audit reports for all programs and courses, ensuring that quality assurance processes are consistently applied across the board. Stakeholder evaluations encompassing feedback from students, alumni, employers, and faculty are analyzed and documented to guide future improvements. Research activities, community service initiatives, and contributions to societal development are also meticulously recorded, showcasing the college's commitment to its broader mission.

   The portfolio also highlights the college's educational partnerships and collaborative efforts. These include joint programs, projects, and other initiatives developed in collaboration with external partners. The effectiveness of these partnerships must be assessed and documented to ensure they contribute meaningfully to the college's academic offerings and strategic goals. Such collaborations are crucial for expanding the college's reach, enhancing educational quality, and promoting innovative practices.

   Furthermore, the portfolio includes an accreditation progress report, detailing the college's compliance with national and international accreditation standards, as well as a ten-year projected plan for assessment and accreditation activities. This long-term planning is essential for sustaining accreditation status and for strategic growth. The College Portfolio also documents external income sources and collaborative efforts, which are vital for financial sustainability and fostering partnerships that enhance the college's academic offerings.

   Overall, the College Portfolio is an indispensable tool for ensuring that each college within Alfaisal University not only meets but exceeds expectations in terms of quality, performance, and strategic alignment with the university's overarching mission.

   - Procedure**:**
     - **Step 1:** The AQA Vice Dean and the College Quality Committee are responsible for gathering and preparing all College Portfolio documents for submission.
     - **Step 2:** The AQA Vice Dean will ensure that the College Portfolio is complete, with all necessary signatures and approvals.
     - **Step 3:** The AQA Vice Dean will upload the finalized College Portfolio to the DAQA Quality Shared Folder no later than October 31st of each academic year.

4. **Program Accreditation Submissions**
   - **Step 1:** The AQA Vice Dean and Quality Committees within each college must compile all NCAAA Program Accreditation documents for their respective programs.

- **Step 2:** The AQA Vice Dean will be responsible for the final submission of all Program Accreditation Documents and uploading a copy to the DAQA Quality Shared Folder.

Additional Notes:

- **Data Security:** All submissions should adhere to the university's data protection and confidentiality policies. Documents uploaded to the Quality Shared Folder should be appropriately labeled and organized to facilitate easy access and review by DAQA.
- **Compliance:** Failure to adhere to the submission procedures may result in delays in accreditation processes and other critical evaluations. It is the responsibility of each AQA Vice Dean to ensure timely and accurate submissions.
- **Risk Management:** To mitigate potential risks, the university has implemented robust cybersecurity measures and regular audits of the Quality Shared Folder. In the event of non- compliance or technical issues, contingency plans are in place to ensure that all submissions are secure. The entire database is regularly backed up to ensure the safety of the data.
- **Ethics and Integrity**: The submission of documents must be conducted with the highest standards of honesty, transparency, and accuracy.
- **Compliance and Enforcement**: Failure to adhere to the submission procedures outlined in this document may result in delays, compromised evaluations, and reflect negatively on the college. It is the responsibility of the AQA Vice Dean to ensure that all submissions are timely, accurate, and complete.
- **Communication and Dissemination**: This policy will be communicated to all relevant stakeholders and included in the Alfaisal University Quality Manual. Ongoing communication will ensure that all staff members are aware of their responsibilities and the importance of compliance.
- **Recognition and Incentives:** The Program and Course Portfolios are part of the Faculty Activity Report (FAR). Departments or individuals who consistently meet submission standards may be recognized through awards, commendations, or other incentives. This approach encourages a culture of excellence and accountability.
- **Change Management:** To support the effective implementation of this policy, the university will provide training and resources to help staff adapt to any changes. A phased implementation plan will be used to ensure a smooth transition.

Appendices:

Appendix 1: Course Portfolio Checklist

College Information	
College:	Department:
Course Information	
Course Title:	Course Code:
Course Instructor/Coordinator:	Semester:

No.	Item	Submitted	Remarks
1	**Course Specification** (Use latest version of NCAAA form)	◦	
2	**Course Syllabus**	◦	
3	**Course Reports Current Term and Previous Term** (Use latest version of NCAAA form). Combined course reports for courses taught by multiple faculty members.	◦	
4	**Copies of teaching materials** (e.g., Lecture notes, ppt slides, etc.)	◦	
5	**Students' Attendance Records**	◦	
6	**Samples of students' graded work** (excellent, average, and poor)	◦	
7	**Exams' answer keys or Assessment Rubrics**	◦	

No.	Item	Submitted	Remarks
8	**Course Learning Outcomes Assessment (**Course ILOs attainment report)	◦	
9	**Grades and Grade distribution**	◦	

Portfolio Approval	
Department Chair:	AQA Vice Dean:
Signature:	Signature:
Date:	Date:

Appendix 2: Program Portfolio Checklist

College Information	**Other Information**
College Name:	Program Name:
Program Director:	Academic Year:

No.	Item	Submitted	Remarks
1.	**Program Specification** (Approved and signed using the latest version of NCAAA Form)	◦	
2.	**Annual Program Report** (Approved and signed using the latest version of NCAAA Form)	◦	
3.	**Report on the achievement of the previous year' program improvement plan**	◦	
4.	**Course portfolios summary reports** (Audit report of program courses)	◦	
5.	**Program Research Activities** (Research activities in the program carried out by instructors and students)	◦	
6.	**Program Community Services** (All Community Service activities in the program carried out by faculty and students)	◦	
7.	**A report on the results of surveys** (stakeholders' surveys including students, alumni, employers, and faculty, etc.)	◦	
8.	**Program Handbook and Training Manual** (Internships or COOP)	◦	
9.	**Program Operational Plan** (Updated Version)	◦	
10.	**Program Learning Outcomes Assessment Plan**	◦	
11.	**Program Learning Outcomes Assessment Reports**	◦	
12.	**Report on program consistency with the National Qualifications Framework (NQF)**	◦	
13.	**Program Advisory Board Reports**	◦	
14.	**Program Accreditation files as applicable** (e.g., SSRP, Interim Report for accredited programs, etc.)	◦	

Signatures (approval)	
Chair of AQA Committee:	AQA Vice Dean:
Signature:	Signature:
Date:	Date:

Appendix 3: College Information

College Information	
College Name:	Academic Year
College Council Membership	Number of Programs
College Portfolio Items	

No.	Item	Submitted	Remarks
1.	**College Strategic Plan** (updated strategic plan and implementation plan in case of critical changes based on the reporting year's recommendations and improvement plans)	◦	
2.	**College Operational Plan**	◦	
3.	**Annual Strategic Plan Report (**e.g., Percent achievement of strategic plan KPIs, progress on previous year's improvement plan, recommendations, and action plans)	◦	
4.	**Program Audit Reports (All Programs)**	◦	
5.	**Course Audit Reports (All Departments)**	◦	
6.	**College Research Activities** (Research activities carried out by faculty and students)	◦	
7.	**College Community Services** (All Community Service activities carried out by faculty and students)	◦	
8.	**College Quality Assurance Manual** (Updated Version covers UG & PG programs)	◦	
9.	**Summary of Programs' Learning Outcomes Assessment Report** (PLOA of all programs with trends analysis as per PLOA plan)	◦	
10.	**Advisory Board Reports and Summary**	◦	
11.	**Programs' Accreditation Report** (Status and accreditation progress for all programs offered by the college)	◦	
12.	**Report on College Educational Partnerships and collaborations** (Joint programs/projects and assessment of the effectiveness of the partnerships)	◦	

Signatures (approval)
Dean:
Signature:
Date:

Quality Assurance Manual -QA003

Policy Code

QA003

1. Introduction

The purpose of this Quality Assurance Manual is to act as a summarized source of information for Alfaisal University's quality system, assessment of learning outcomes, and highlight important quality assurance (QA) policies, guidelines, and procedures that support Alfaisal University (AU) in its goal to assure the quality of its teaching and learning, review process, and the attainment of programs and institutional accreditations.

It is important to note that the manual's contents are not static. As a part of continuous quality management, regular reviews of the policies, guidelines, and procedures undergo regular reviews, and the manual may be subjected to occasional revision to incorporate changes. The Department of Accreditation and Quality Assurance (DAQA) is responsible for maintaining the QA Manual.

Alfaisal University's quality assurance system aims to establish an academic community that consistently integrates quality management into the university's regular activities, driven by the concept of continuous

improvement. The university's quality management system encompasses all aspects of education, research, and services provided by the institution. While certain policies, processes, and procedures may be outlined in other university documents, the manual primarily focuses on describing the processes and procedures that are pertinent to quality assurance.

The primary purpose of this quality manual is to outline the university's quality policies, objectives, and governance structure. It serves as a fundamental document that describes the university's entire quality management system, providing internal and external stakeholders with a comprehensive understanding of the quality management practices across the institution's various activities. The development of the QA-Manual is guided by the belief that the pursuit of high quality is a continuous journey with constant opportunities for improvement.

1.1 Overview of Alfaisal University

Founded in 2002, Alfaisal University (AU) is a fully accredited institute of higher education by the National Commission for Academic Accreditation and Evaluation (NCAAA). The university boasts an architecturally stunning campus, situated on the historic and prestigious grounds of the palace of His Majesty the Late King Faisal in the capital of Riyadh, Kingdom of Saudi Arabia. As the crown jewel of the internationally reputed King Faisal Foundation, AU stands as a testament to the foundation’s commitment to educational excellence.

Alfaisal University provides an inclusive and diverse educational environment, welcoming approximately 4,000 students from over fifty nations. The university comprises six academic colleges: Business, Engineering, Medicine, Science & General Studies, Pharmacy, and Law & International Relations. AU is fostering a student-centered approach and research-focused learning experience. To enhance their academic and personal growth, students are encouraged to actively participate in collaborative research, engage in international study opportunities, and embrace active learning. Through a vibrant array of student associations, clubs, and organizations, Alfaisal nurtures socially responsible global citizens who are committed to lifelong learning and personal development in service to others.

The university has established partnerships with a wide range of local and international organizations, including King Faisal Specialist Hospital & Research Center (KFSH&RC), King Abdulaziz City for Science & Technology (KACST), King Abdullah University of Science & Technology (KAUST), Saudi Aramco, Boeing, BAE Systems, Thales, and Shell.

1.1.1 AU’s Vision and Mission

Vision: A non-profit research university that aspires to be a world-class institution and a pioneer in innovation and knowledge applications.

Mission: A student-centered university creating and disseminating knowledge through world-class academic programs, research, and service that benefits humanity.

1.1.2 AU’s Core Values

- **Culture:** Understand and value core elements of Saudi culture.
- **Research & Knowledge:** Contribute new knowledge in their fields of study and apply evidence-based approaches to problem-solving.
- **Performance:** Commit to continuous improvement in performance and quality.
- **Faith:** Honor the role of faith in life.
- **Integrity:** Demonstrate professional and institutional integrity.
- **Responsibility:** Embrace social and environmental responsibility.
- **Honesty:** Demonstrate honesty in one’s actions and treatment of others.
- **Service:** Provide value-added service at the local, regional, and international levels.
- **Learning:** Install the habit of life-long curiosity and learning.
- **Equal opportunity:** Strive for equal opportunity within the context of valuing talent and ability.

- **Leadership:** Demonstrate leadership with respect to academics, research, and service, and build leaders.

1.2 Strategic Goals and Commitment to Quality

At the core of Alfaisal University's commitment to excellence is aligning its strategic goals with the mission to foster a transformative educational experience. As a non-profit institution with six diverse colleges, Alfaisal is recognized as a beacon of student-centered and research-focused education. Collaborations with leading universities and international research organizations highlight the university's dedication to global excellence and innovation.

The faculty and students of Alfaisal University are actively engaged in scientific inquiry, contributing significantly to international research and innovation. This engagement is demonstrated through the publication of pioneering research in esteemed scientific journals and the registration of patents under the university's name, underscoring its leadership in knowledge creation. The outstanding employment rates of Alfaisal University's graduates further validate the efficacy of its educational model in equipping students for successful careers.

In addition to academic rigor, Alfaisal University prioritizes creating a dynamic community environment where students are motivated to shape their identities, leadership capabilities, and entrepreneurial skills. Engagement in professional conferences, community service, and diverse initiatives facilitates the development of students into responsible individuals committed to effecting positive change.

Reflecting on King Faisal's vision, Alfaisal University aspires for the Kingdom of Saudi Arabia to become a center of knowledge and innovation. The strategic plan for 2020-2025, structured around the four principal themes, supports this aspiration, and guides the university's endeavours towards achieving its goal:

Theme 1: Student-Centered

- **Strategic Goal 1:** Provide a world-class student-centered learning environment that is supported by equal educational opportunities that facilitate academic excellence and future success.
- **Strategic Goal 2:** Graduate competitive, conscientious leaders with global entrepreneurial perspectives.

Theme 2: World Class Distinction

- **Strategic Goal 3:** Strengthen national and international recognition.
- **Strategic Goal 4:** Attain financial sustainability through diverse revenue sources.

Theme 3: Research

- **Strategic Goal 5:** Advance cutting-edge research.
- **Strategic Goal 6:** Contribute to the development of a knowledge-based economy.

Theme 4: Service to the Community and the World

- **Strategic Goal 7:** Expand engagement to better serve the community.

In line with these strategic objectives and to uphold the values of excellence in its academic programs and administrative units, Alfaisal University is deeply committed to adhering to national and international quality requirements and accreditation standards, primarily those set forth by the NCAAA and various other reputable international accreditation bodies like ABET, AACSB, and Royal society of biology, etc. In the meantime, the university is committed to quality management that emphasizes the application of best practices.

1.3 Graduate Attributes

Alfaisal University is committed to fostering excellence, innovation, and leadership through comprehensive graduate attributes. Integral to both the curriculum and co-curricular activities, these attributes ensure holistic development, preparing students for global challenges.

Outlined below are the essential skills and values that Alfaisal University graduates are equipped with, reflecting the institution's commitment to their comprehensive growth:

- **Communication Skills:** Graduates will have the ability to communicate effectively both individually and as a member of a team in both languages Arabic and English by demonstrating mastery of reading, writing, speaking, listening, and presenting in a variety of styles and media.
- **Information Technology and Numerical Skills:** Graduates will have the ability to use modern technologies effectively and employ computation skills to acquire information from different sources, investigate and solve problems and reach the right decisions.
- **Integrity and Ethics:** Graduates will have the ability to act ethically and consistently with integrity and high moral standards in their professional endeavors.
- **Interpersonal and Responsibility:** Graduates will have the ability to demonstrate responsibility for environmental, economic, social, and personal concerns and use their disciplinary knowledge and professional expertise to serve the community and value their personal fulfillment in the society.
- **Professional Development:** Graduates will have the ability to work effectively with others as a team member and/or collaboratively with others as a team leader to accomplish tasks and achieve team goals.
- **Lifelong Learning:** Graduates will have the ability to develop their capacity for personal career progression and to remain at the leading edge in their discipline to respond to the challenges of an ever-changing environment with the most current knowledge and technology.
- **Critical Thinking and Problem Solving:** Graduates will have the ability to reason logically and creatively and apply critical thinking and scientific methods to explore facts, concepts, theories, and problems to make informed and responsible decisions and/or to pursue practical solutions for real life problems.

2. Department of Accreditation and Quality Assurance (DAQA)

The Department of Accreditation and Quality Assurance (DAQA) at Alfaisal University plays a pivotal role in upholding the university's commitment to quality, academic excellence, and continuous development across both local and global spectrums. Strategically positioned under the Office of the President and led by the Director of Accreditation and Quality Assurance, DAQA acts as a crucial liaison with external regulatory and accrediting bodies, including the Ministry of Education (MoE) and the National Center for Academic Accreditation & Evaluation (NCAAA), among other professional and external accrediting agencies.

DAQA's mission is multifaceted, extending beyond ensuring compliance with external standards to fostering an internal culture of continuous improvement and academic distinction. This is achieved through a suite of targeted services for faculty, encompassing personalized consultations and a diverse range of workshops that address critical areas like curriculum development, innovative teaching methodologies, and accreditation preparation. These initiatives are designed to elevate teaching and learning practices, reinforcing Alfaisal University's stature in meeting and surpassing the standards of accrediting bodies.

2.1 DAQA Responsibilities

The establishment of DAQA marks a significant advancement in formalizing and advancing quality standards within the university. Acting as a central technical hub, DAQA guides all colleges and departments in systematically implementing measures for quality control based on strategic directives and established performance criteria. DAQA's role encompasses facilitating ongoing self-evaluation and enhancement efforts across departments and ensuring Alfaisal University's active engagement with regulatory and accrediting agencies at various levels. Key responsibilities include:

- Developing and maintaining policies, systems, and processes for quality control across all educational and service delivery provisions.
- Streamlining and modernizing functions to enhance efficiency and effectiveness in quality management.
- Identifying strengths and areas needing attention to facilitate ongoing improvement.
- Conducting benchmarking against international best practices to maintain the highest quality standards.

- Leading the coordination of both internal and external reviews, as well as accreditation activities, to cultivate a quality culture that is comprehensively understood, actively utilized, and fully embraced throughout the university community.
- Creating and updating a comprehensive database for all evidence, policies, regulations, and related activities, thereby supporting the university's efforts toward continuous quality enhancement.

Moreover, DAQA at Alfaisal University assumes a critical role across the Institutional, College, and Program levels by engaging a diverse array of stakeholders:

a. **University Leadership:** DAQA works in tandem with Alfaisal University's President and Executive Officers to shape and refine the university's mission and strategic governance. This partnership is essential for assessing progress towards the institution's objectives and ensuring that strategic goals are met with precision and foresight.
b. **Academic and Administrative unit:** DAQA engages with college and administrative leaders to create resources, share best practices, and foster an environment ripe for change, enhancement, and continuous improvement. This partnership underscores a commitment to elevating standards across all university divisions.
c. **External entities:** DAQA stands as Alfaisal University's primary liaison for engaging with external entities on matters of quality control, accreditation, and the management of institutional partnerships. It ensures effective communication and collaboration with key bodies like the NCAAA, as well as various national and international accrediting organizations, facilitating a seamless integration of global standards and practices within the university's operations.
d. **Students and the community:** DAQA actively partners with colleges and the student affairs department to develop and implement programs and activities focused on the needs and interests of students and the broader community. It also assesses the effectiveness and impact of these initiatives, ensuring they contribute positively to the educational experience and societal well-being.

2.2 DAQA Vision and Mission

Vision: To be the leading force in achieving academic excellence by advancing best practices in teaching, assessments, accreditation & quality assurance.

Mission: To build a culture of excellence in teaching effectiveness, academic development, and continuous improvement to achieve AU strategic goals and the highest accreditation standards.

2.2.1 DAQA Strategic Initiatives

Aligned with AU and DAQA's mission, key strategies are deployed to enhance the university's quality and accreditation stance. these strategies are as follow:

- Creating awareness campaigns to make sure that everyone in the AU community is aware of the goals and purposes of the quality assurance system.
- Obtaining national and international accreditations at institutional and program levels.
- Assuring quality and excellence in all AU procedures and services.
- Developing internal competencies for efficient planning and quality control in all administrative, academic, and business development activities of the university.
- Establishing robust mechanisms for internal evaluation and evidence-based outcome management throughout the university.
- Implementing best practices and benchmarking techniques that will enable AU academia to utilize quality procedures for continuous improvement and generate periodic compliance and non-compliance reports for the higher management.

2.2.2 DAQA Guiding Principles

Rooted in AU's strategic objectives, DAQA's mission emphasizes developing and refining quality systems for the university's enduring success. The following guiding principles reflect DAQA's commitment to excellence, blending core values and philosophies to elevate Alfaisal University's quality and accreditation standards. These principles serve as the bedrock for sustaining academic excellence and operational integrity:

- **Shared Responsibility:** Upholding and boosting the standards of AU's academic programs and elevating the quality of the student experience depends on the collective purview of the DAQA members, colleges, and their supporting units. The administrative departments bear a portion of this duty as well in terms of offering prompt services and fostering an environment that is conducive to learning and working for all staff, faculty, and students.
- **Self-evaluation:** The foundation of quality assurance is a culture of systematic, ongoing review and improvement of all administrative and academic processes, achieved by carrying out internal and external benchmarking and adopting quality tools.
- **Evidence:** A systematic process of gathering information and analysing data to support future actions, forms the foundation of quality assurance and continuous improvement.
- **Effectiveness and Efficiency:** The effectiveness and efficiency of quality within the university and compliance with national and international quality standards can be assured by Periodic policy and procedure reviews and improvements.
- **Sharing Best Practice:** A key component of quality assurance is a firm dedication to identifying, recognizing, and disseminating best practices and procedures via benchmarking so that they become institutional norms.

2.3 Framework Requirements for DAQA's Success

The DAQA framework aims to support AU's academic vision in a sustainable and well-integrated way. The following framework will support AU in attaining the intended outcomes throughout AU's core academic and administrative support units. The six requirements for creating such a framework are as follows:

- **Growth Imperative:** As AU's program portfolio expands, a matching structure is needed to guarantee an excellent foundation for growth.
- **Accreditation Imperative:** AU must achieve its accreditation goals to create a framework that supports the establishment of an integrated quality assurance system and encourages sustained compliance with the NCAAA and other relevant national and international standards.
- **Quality Assurance Imperative:** AU's pursuit of quality excellence can only be realized by implementing quality control systems that can sustainably support its broad range of professional and academic programs.
- **Learning Development Imperative:** To ensure that teaching and learning consistently play a crucial part in attaining student outcomes and academic excellence.
- **Technology Imperative:** Without a doubt, technology is changing higher education more than it has in the past and will continue to do so. Digital transformation will be a critical enabler to the university's mission and goals for AU to improve student experiences, transcend time and location, and give AU students, professionals, and academia flexible and wider access to knowledge.
- **Positioning Imperative:** To position AU's colleges and programs through national and international accreditation and attain global recognition.

2.4 DAQA Team Roles

DAQA has a dedicated team that works diligently to maintain high standards of academic excellence and ensure that the institution complies with all accreditation requirements. Their crucial efforts play a key role in upholding the university's reputation for providing a top-quality education to all students. The team comprises experienced educators, accreditation specialists, and administrative professionals, all committed to fostering an environment of continuous improvement and excellence in higher education.

a. **Director of Accreditation and Quality Assurance**
   The Director of Quality Assurance at Alfaisal University is a member of the executive management team and reports directly to the President. He heads the Department of Accreditation and Quality Assurance (DAQA)

and oversees the development of accreditation planning and implementation. The director is responsible for obtaining and maintaining institutional accreditation. He also assists all colleges and their respective programs in obtaining national and international accreditation.

b. **Quality Assurance Manager**
The Quality Assurance Manager provides leadership in the development and operations of accreditation and quality assurance at Alfaisal University. Reporting directly to the Director of Accreditation and Quality Assurance, this manager is responsible for the planning, coordination, and implementation of all quality assurance activities including accreditation plans, quality assurance procedures, evaluations, and continuous improvement initiatives. The Manager works closely with Vice/Associate Deans to develop a comprehensive quality assurance system and ensures high-quality standards are applied at the program, college, and institutional levels. Additionally, the manager serves on quality assurance-related committees and provide analysis and reports as required.

c. **Faculty Development Manager**
The Faculty Development Manager provides leadership in the development, implementation, and management of faculty development programs at Alfaisal. Reporting directly to the Director of Accreditation and Quality Assurance, the Manager is responsible for developing a comprehensive program to support Alfaisal faculty in the areas of teaching, learning, research, and creative activities. This includes but is not limited to offering workshops and trainings on effective teaching and learning strategies, integration of technology, preparation of proper assessments to measure the attainment of course learning outcomes, and orientation for new faculty. Additionally, the Manager supports the operations of the Accreditation & Quality Assurance Office.

d. **Accreditation and Quality Assurance Supervisor**
The Accreditation and Quality Assurance Department Supervisor is part of the quality assurance team and responsible for ensuring the quality and compliance of the institution with the Ministry of Education (MOE) and NCAAA standards and regulations. Reporting directly to the Quality Assurance Manager, the primary responsibilities of the supervisor include collecting, analysing, interpreting data, and creating reports related to Accreditation and Quality Assurance Department.

e. **Accreditation and Quality Assurance Specialist**
The Accreditation and Quality Assurance Department Specialist is part of the quality assurance team and responsible for ensuring the quality and compliance of the institution with Ministry of Education (MOE) and NCAAA standards and regulations. Reporting to the Accreditation and Quality Assurance Supervisor, the specialist is responsible for assisting in data collection, analysis, interpretation and report production, as well as contributing to continuous improvement efforts across university operations.

f. **Accreditation and Quality Assurance Officer**
The Accreditation and Quality Assurance Officer works with the Quality Assurance manager and director with responsibility for the review, implementation, and maintenance of Accreditation and Quality Assurance Standards and Processes to ensure compliance with the quality assurance principles and practices of Alfaisal University. Additionally, the Accreditation Officer is required to liaise with a range of internal and external stakeholders involved in accreditation reviews and other accreditation processes.

g. **Vice Dean for Accreditation and Quality Assurance**
The Vice Dean for Accreditation and Quality oversees, manages, and fosters continuous improvement of accreditation and quality assurance operations at the college level. They are responsible for ensuring the quality of educational programs within the college and acquiring and upholding program accreditation. The Vice Dean works with all departments to collect and maintain data and information related to accreditation and quality assurance at the college level. They also coordinate with the Office of Accreditation and Quality Assurance at the university level to ensure compliance with accreditation standards and to maintain the quality of education across the institution. The Vice Dean of Quality Assurance has strong leadership, organizational skills, and an understanding of accreditation processes and quality assurance principles.

2.5 National Qualification Framework

The AU Quality framework aligns completely with the Saudi National Qualification Framework (NQF). The NQF strives to establish a unified system that ensures top-tier quality, competitiveness, and global acknowledgment of

national qualifications. By categorizing qualifications into levels based on learning outcomes, the NQF offers a cohesive and standardized approach to constructing, structuring, and classifying qualifications. It serves as an effective mechanism for enhancing the transfer of knowledge, skills, and values across diverse professional settings, both domestically and internationally.

2.5.1 NQF Levels

The NCAAA's levels consist of structured vertical pathways, organized based on the extent and complexity of learning domains, and their inclusion in educational curricula. These levels span from an initial entry level to the highest level 8. They encompass a diverse range of sectors including public, technical, vocational training, higher education, practical training, civil education, and military education.

Each level includes a variety of learning outcomes and incorporates detailed descriptions of the relevant knowledge, skills, and values. Together, these individual levels constitute the matrix of levels within the NQF. Currently, AU provides education at the most advanced three tiers: Bachelor's, Master's, and Doctoral programs, as illustrated in **Figure 2.5.1.1. (2020 NQF Handbook)**

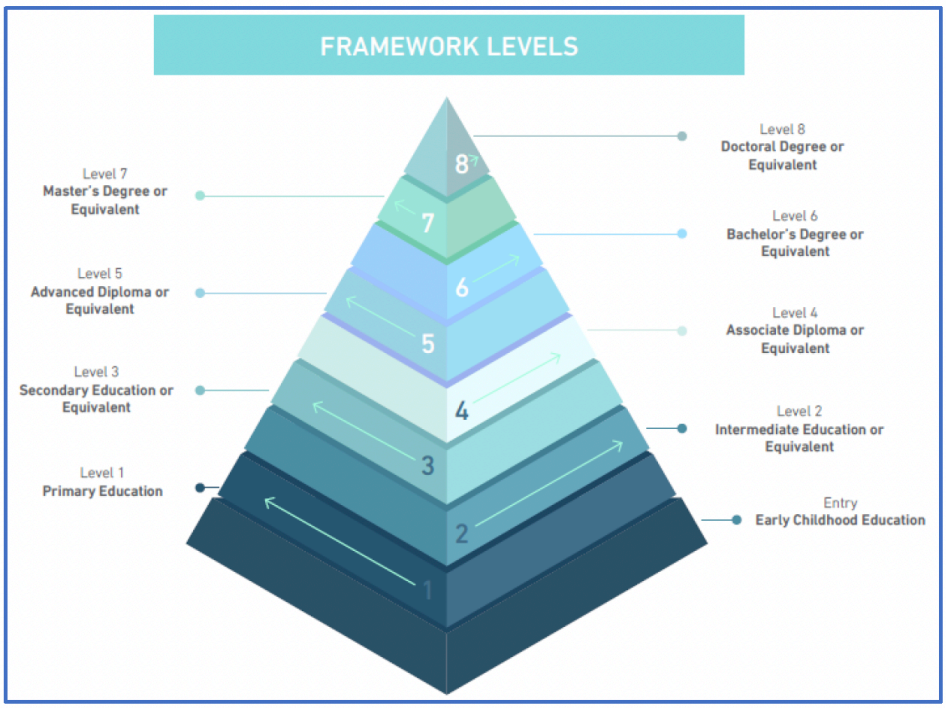
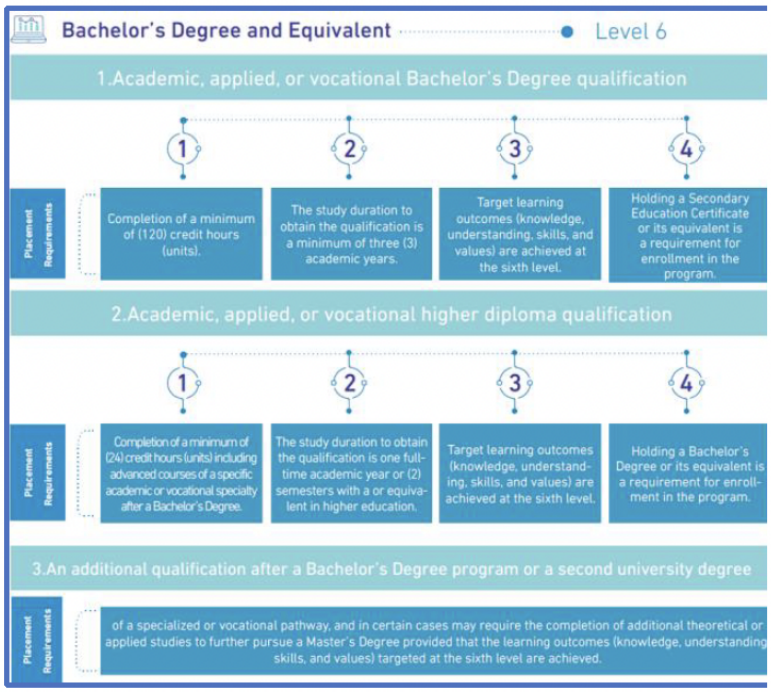


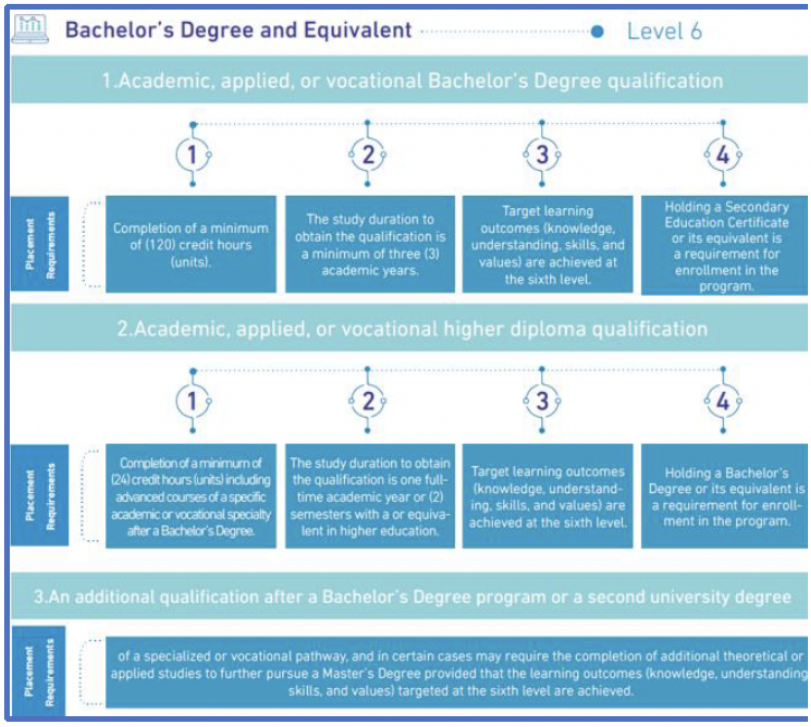
Figure 2.5.1.1. The NCAAA's framework levels

2.5.2 Level 6: NQF Level Descriptors and Placement Requirements (2020 NQF Handbook)

Level Descriptors for Bachelor’s Degree and Equivalent

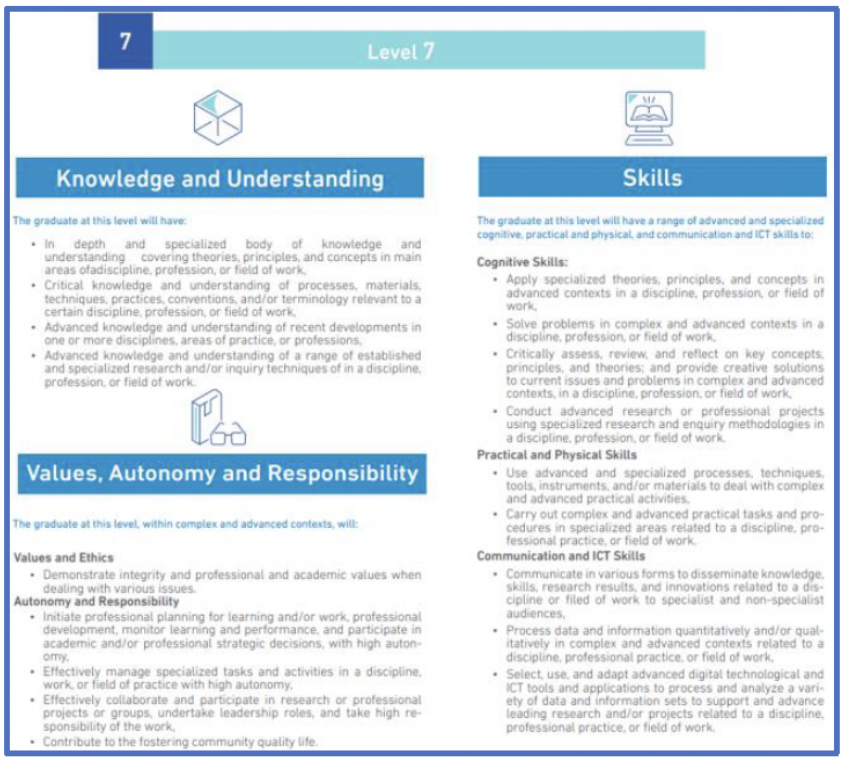


Placement Requirements for Bachelor's Degree and Equivalent

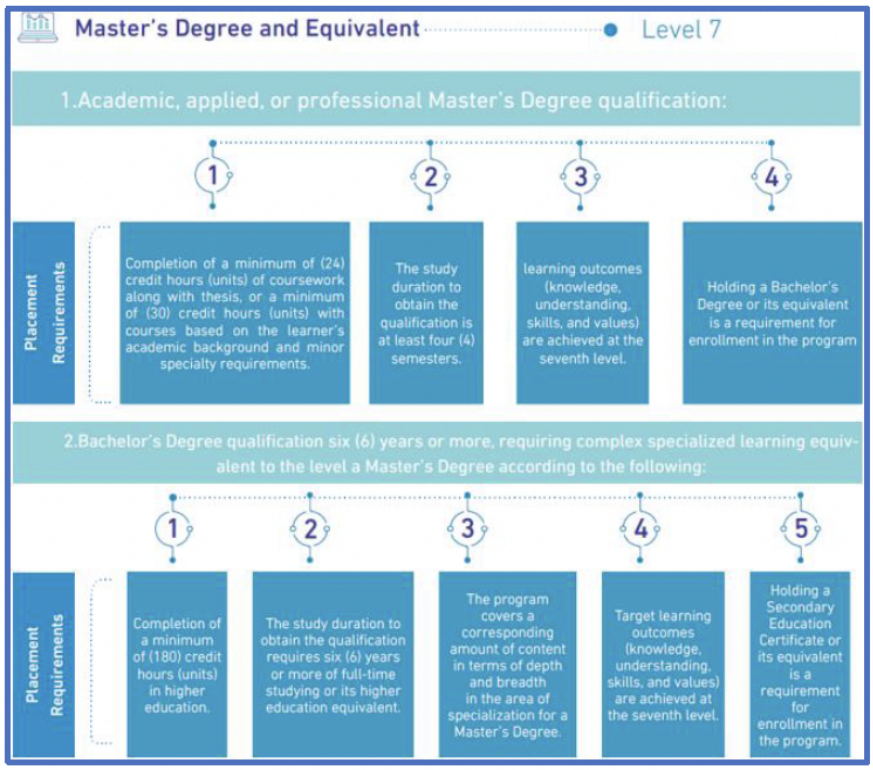


2.5.3 Level 7: NQF Level Descriptors and Placement Requirements (2020 NQF Handbook)

Level Descriptors for Master's Degree and Equivalent

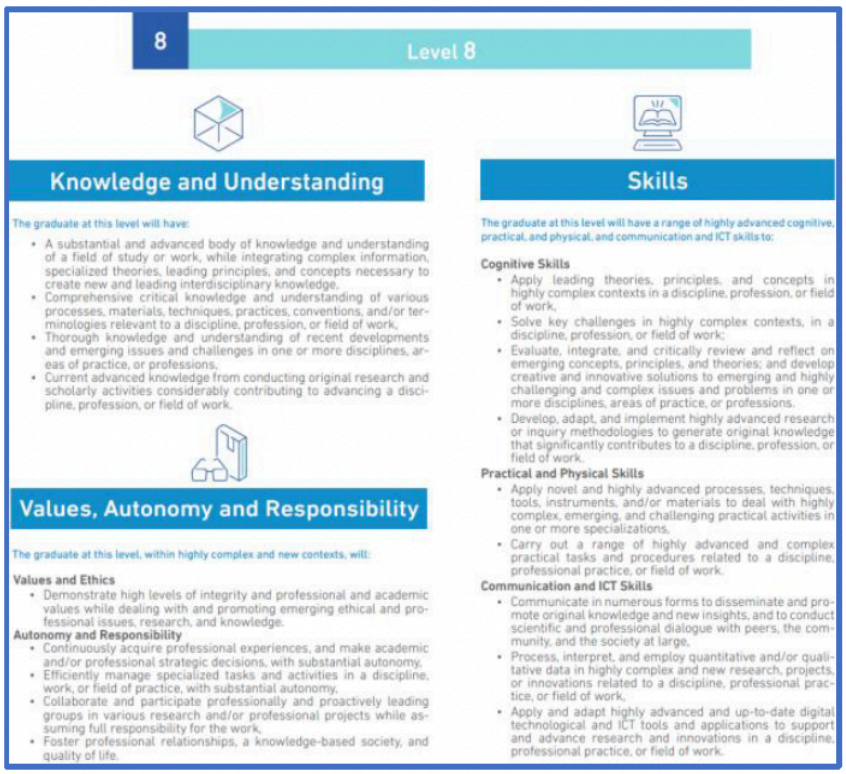


Placement Requirements for Master's Degree and Equivalent

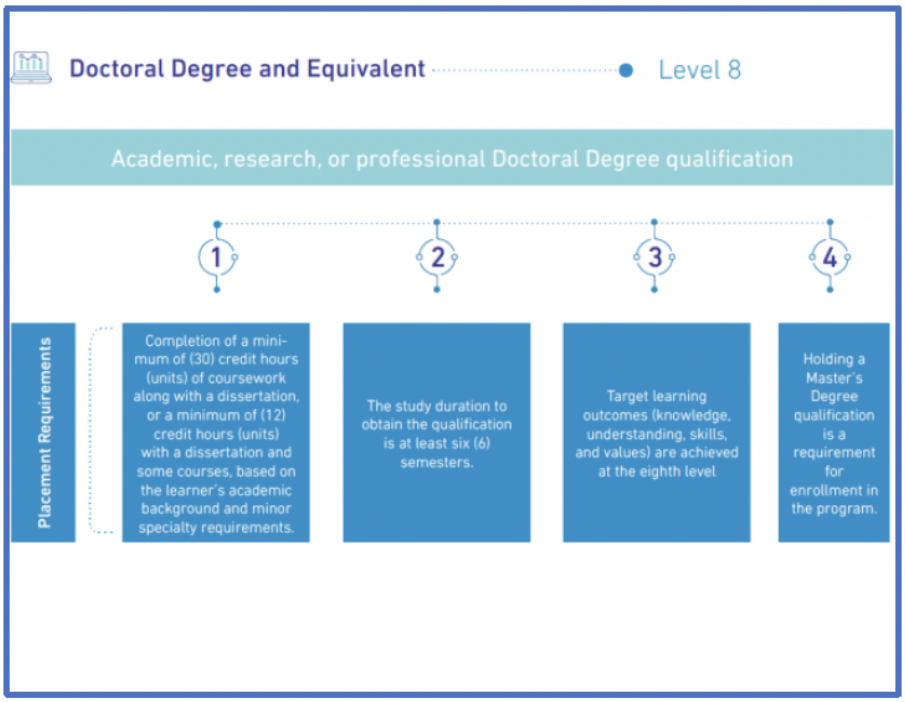


2.5.4 Level 8: NQF Level Descriptors and Placement Requirements (2020 NQF Handbook)

Level Descriptors for Doctoral Degree and Equivalent



Placement Requirements for Doctoral Degree and Equivalent



2.6 Alignment between AU's Quality Assurance Framework and the Saudi National Qualification Framework (NQF)

AU's Institutional and Program Assessment Procedures adhere to the standards set by the NCAAA. The pertinent best practices are 3.1, 3.2, & 3.3, applicable to both institutional and program evaluations. A visual representation of these relevant best practices is provided in Figure 2.6.1 below.

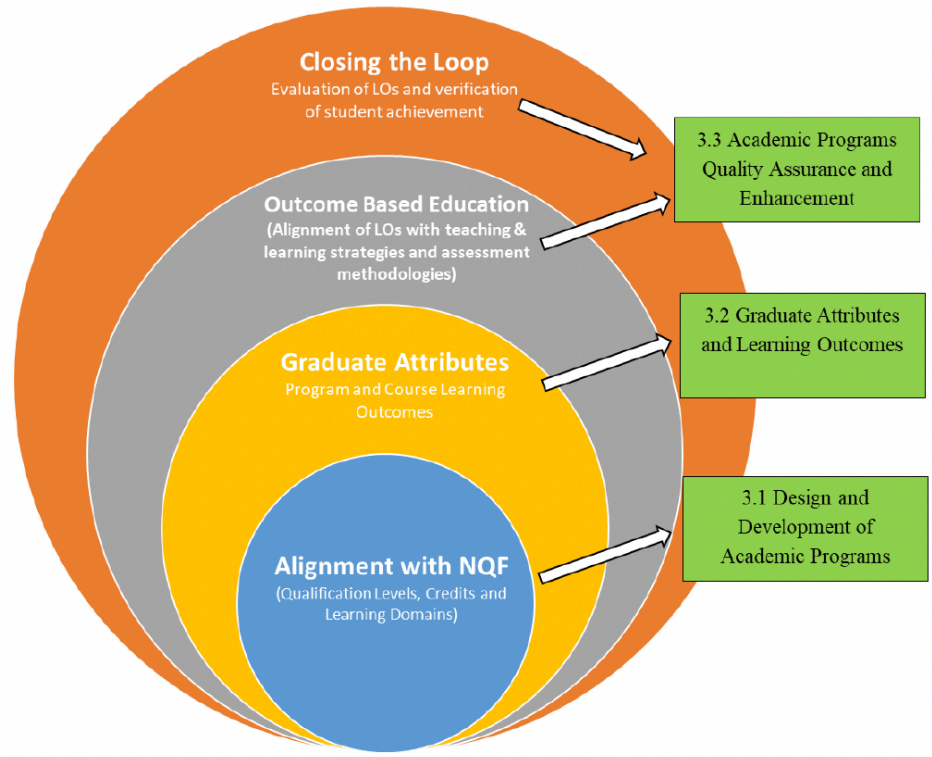


Figure 2.6.1: Compliance of AU's Quality Assurance framework to the Saudi NQF

It's crucial to emphasize that AU's Internal Quality System (IQS) complies with both the National Qualifications Framework and the standards set by NCAAA. The diagram above illustrates this correlation. The NQF serves as the blueprint for aligning our educational strategies with the demands of the job market, ensuring quality standards throughout the educational landscape. AU has embraced the NQF as the framework for its Internal Quality System within the university.

3. AU Internal Quality System

The Internal Quality System (IQS) at Alfaisal University is a foundational component in the institution's commitment to achieving the highest standards in education, research, and community engagement. At the heart of this dedication is the Quality Assurance (QA) Manual, which not only offers a thorough overview of the quality assurance framework, assessment methodologies, and the essential policies, guidelines, and procedures that underscore the university's drive for excellence in higher education but also lays down a solid framework for articulating the entirety of Alfaisal University's quality management system.

The QA manual provides both internal and external stakeholders with a detailed perspective on the management of quality throughout the university's broad spectrum of activities, demonstrating a steadfast dedication to quality and continuous improvement. Such a commitment secures Alfaisal University's status as a leader in academic excellence and innovation, embodying the institution's unwavering dedication to upholding the highest standards across all its endeavors.

3.1 Purpose and Scope of QA Manual

The QA Manual is designed as a concise yet comprehensive resource detailing Alfaisal University's quality system and the assessment of learning outcomes. It emphasizes critical QA policies, guidelines, and procedures that underpin the university's objectives to ensure the quality of its educational and teaching efforts, in addition to attaining program and institutional accreditation. While the manual does not cover every policy within the university, it is intended to supplement and coordinate with other policies and guidelines, fostering a unified approach to quality assurance.

Embedded within the university’s culture of continuous quality management is the understanding that the QA Manual is a dynamic document, necessitating regular evaluations and updates of policies, guidelines, and procedures. This practice ensures the manual remains current and aligned with the latest best practices and standards. The QA Department is responsible for the manual's upkeep, performing routine reviews on an annual basis.

The comprehensive approach to quality assurance at Alfaisal University is meticulously outlined in the main quality manual, which offers a broad overview of the institution's quality management system. More detailed descriptions of specific policies, processes, and procedures are provided in additional university documents, including various operational manuals such as the faculty handbook, student handbook, human resources manual, IT manual, survey manual, and research manual. These documents facilitate a thorough understanding of respective quality systems across all levels of the university.

The development of the QA Manual is driven by the philosophy that the pursuit of quality is an endless journey, with continuous opportunities for enhancement. This philosophy suggests that the manual, along with the quality management practices it represents, is designed for continuous refinement. Such an approach emphasizes the significance of ongoing development and the necessity to adapt to new insights and challenges.

3.2 Quality Standards and Key Performance Indicators

Quality standards and key performance indicators at Alfaisal University are governed through a comprehensive accreditation framework implemented by the National Commission for Academic Accreditation and Assessment (NCAAA) at both the institutional and program levels, encompassing undergraduate and postgraduate studies. The process of gap analysis and continuous improvement is rigorously conducted, drawing upon the best practices associated with the NCAAA institutional standards and KPIs, as well as its specific standards and KPIs for undergraduate and postgraduate programs. This strategic approach ensures that Alfaisal University not only meets but strives to exceed the quality benchmarks set forth by the NCAAA, fostering an environment of excellence and continuous enhancement across all its academic offerings.

NCAAA Institutional Standards 1-8 (2023)	
1	Vision, Mission, and Strategic Planning
2	Governance, Leadership, and Management
3	Teaching and Learning
4	Students
5	Faculty and Staff
6	Institutional Resources
7	Research and Innovation
8	Community Partnership

NCAAA Program (PG) Standards 1-6 (2023)	
1	Program Management and Quality Assurance
2	Teaching and Learning
3	Students
4	Faculty
5	Learning Resources, Facilities, and Equipment
6	Research and Projects

NCAAA Program (UG) Standards 1-5 (2023)	
1	Program Management and Quality Assurance
2	Teaching and Learning
3	Students
4	Faculty
5	Learning Resources, Facilities, and Equipment

NCAAA Institutional KPIs 1-20 (2023)		
Standard	**KPI Code**	**KPI Name**
1. Mission, Vision and Strategic Planning	KPI-I-01	Percentage of achieved indicators of the institution's strategic plan objectives
3. Teaching and Learning	KPI-I-02	Students' evaluation of quality of learning experience in the programs*
	KPI-I-03	Graduates employability and enrolment in postgraduate programs*
	KPI-I-04	Graduation rate for Undergraduate Students in the specified period*
	KPI-I-05	Satisfaction of beneficiaries with learning resources*
	KPI-I-06	Employers' evaluation of the institution graduates proficiency*
4. Students	KPI-I-7	Students' satisfaction with the offered services*
5. Faculty and Staff	KPI-I-8	Ratio of students to teaching staff*
	KPI-I-9	Proportion of faculty members with doctoral qualifications*
	KPI-I-10	Proportion of teaching staff leaving the institution*
6. Institutional Resources	KPI-I-11	Percentage of self-income of the institution
	KPI-I-12	Satisfaction of beneficiaries with technical services*
7. Scientific Research and Innovation	KPI-I-13	Percentage of publications of faculty members*
	KPI-I-14	Rate of published research per faculty member*
	KPI-I-15	Citations rate in refereed journals per faculty member
	KPI-I-16	Number of patents, innovations, and awards of excellence
	KPI-I-17	Proportion of the budget dedicated to research
8. Community Partnership	KPI-I-18	Satisfaction of beneficiaries with the community service
	KPI-I-19	Percentage of faculty members and students participating in community activities*
2. Governance, Leadership, and Management	KPI-I-20	Proportion of accredited programs

NCAAA Program (PG) KPIs 1-13 (2023)		
Standard	**KPI Code**	**KPI Name**
2. Teaching And Learning	KPI-PG-1	Students' Evaluation of quality of learning experience in the program
	KPI-PG-2	Students' evaluation of the quality of the courses
	KPI-PG-3	Students' evaluation of the quality of academic supervision
	KPI-PG-4	Average time for students' graduation
	KPI-PG-5	Rate of students dropping out of the program
	KPI-PG-6	Employers' evaluation of the program graduates competency
3. Students	KPI-PG-7	Students' satisfaction with the offered services
4. Faculty	KPI-PG-8	Ratio of students to faculty members
6. Research and Projects	KPI-PG-9	Percentage of publications of faculty members
	KPI-PG-10	Rate of published research per faculty member
	KPI-PG-11	Citations rate in refereed journals per faculty member
	KPI-PG-12	Percentage of students' publication
	KPI-PG-13	Number of patents, innovative products, and awards of excellence

NCAAA Program (UG) KPIs 1-11 (2023)		
Standard	**KPI Code**	**KPI Name**
2. Teaching And Learning	KPI-P-01	Students' Evaluation of quality of learning experience in the program
	KPI-P-02	Students' evaluation of the quality of the courses
	KPI-P-03	Completion rate
	KPI-P-04	First-year students retention rate
	KPI-P-05	Students' performance in the professional and/or national examinations
	KPI-P-06	Graduates employability and enrolment in postgraduate programs
	KPI-P-07	Employers' evaluation of the program graduates proficiency
4. Faculty	KPI-P-08	Ratio of students to teaching staff
	KPI-P-09	Percentage of publications of faculty members
	KPI-P-10	Rate of published research per faculty member
	KPI-P-11	Citations rate in refereed journals per faculty member

3.3 Quality Assurance Governance

3.3.1 Quality Assurance Structure

The highest level of quality commitment is driven by the highest university leadership in the form of AU's decision to establish DAQA since the start of the university in 2008. This is followed by the establishment of a Quality Governance Structure (AU - QGS) at the Institutional level (Figure 3.3.1.1), a Quality Governance Structure (AU-UGPQGS) for the undergraduate program level (Figure 3.3.1.2), and Quality Governance Structure (AU-PGPQGS) at the Postgraduate Program level (Figure 3.3.1.3).

At the institutional level, AU's Quality Governance Structure (AU-QGS) is overseen by the Institutional Steering Committee. This Committee is chaired by the President and constitutes members of the Council of Deans (CoDs) which conduct its deliberations in the CoDs meetings.

At the (UG) program level, as illustrated in Figure 3.3.1.2, Alfaisal University's framework for Quality Governance (AU-UGPQS) has distinct quality units within each college, with additional sub-units for colleges hosting multiple programs.

At the (PG) program level, as illustrated in Figure 3.3.1.3, Alfaisal University's framework for Quality Governance (AU-PGPQS) has distinct quality units under the Vice President of Graduate Studies, Research and Innovation with additional sub-units for colleges hosting multiple programs.

Quality assurance procedures and protocols at each college are overseen by a Vice-Dean for Accreditation and Quality Assurance. At the program level, this responsibility falls to the Department Chair, who is supported by a program-level quality committee. The organizational structure and framework for quality assurance, depicted in Figures 3.3.1.2 & 3.3.1.3 illustrates how the college and program levels collaborate seamlessly to meet the university's quality and accreditation objectives. Furthermore, DAQA monitors the overall strategy and advancement towards program accreditation, offering comprehensive support and assistance.

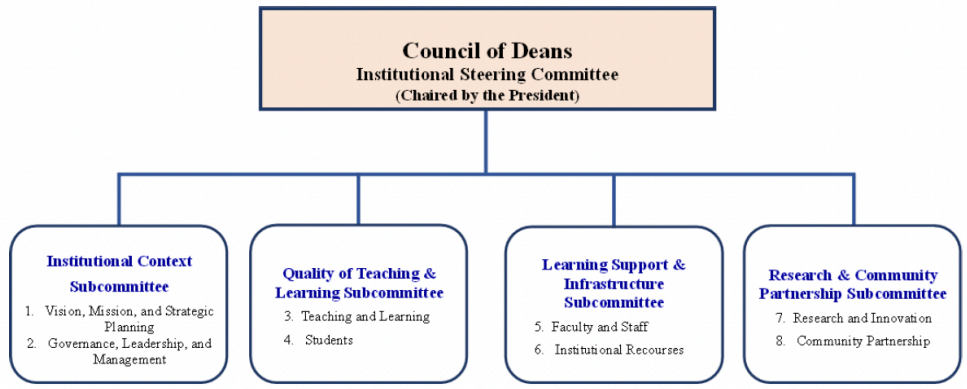


Figure 3.3.1.1 AU Quality Governance Structure (AU-QGS)

Figure 3.3.1.1 AU Quality Governance Structure (AU-QGS)

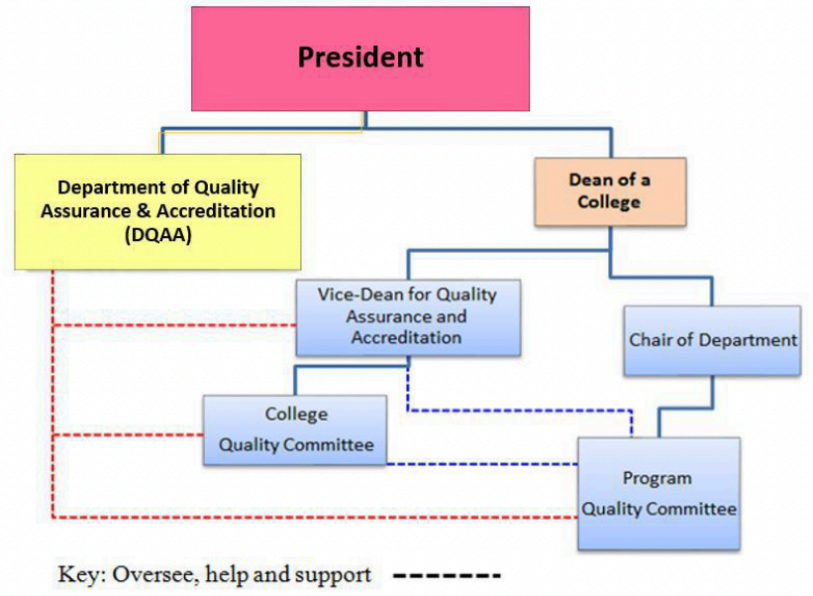


Figure 3.3.1.2: AU Quality Governance Structure at the Undergraduate Program level (AU-UGPQGS)

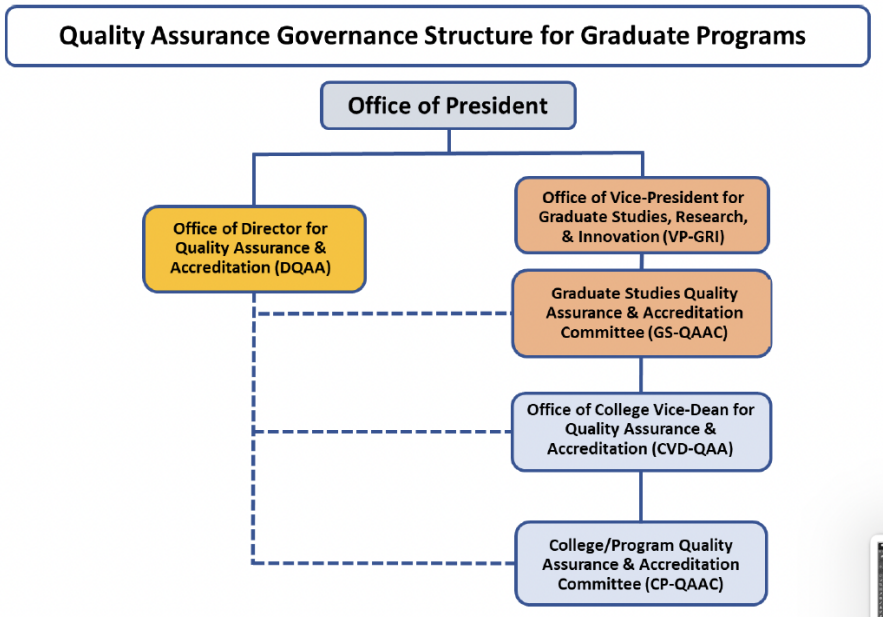


Figure 3.3.1.3 AU Postgraduate Program Quality Governance Structure (AU – PGPQS)

3.3.2 Institutional Research and Quality Cycle for Improvement

The purpose of the Institutional Research and the Quality Cycle for Improvement (IRQCI) is to enhance and ensure continuous improvement of university quality assurance processes and aspects through systematic planning, implementation, evaluation, reporting, and improving processes to support institutional effectiveness Figure 3.3.2.1. In addition, it supports and consolidates the DAQA's standards which will contribute to the achievement of the university's vision, mission, goals, objectives, and initiatives. For the gradual development of quality policies and procedures within the university, the improvement must be cyclic in nature and not linear. This is crucial for closing the loop.

The process of improving quality involves assessing current levels of performance and the environment in which AU is operating, identifying strategic priorities for improvement, setting objectives, developing plans, implementing those plans, monitoring what happens and adjusting if necessary, assessing the results achieved, and finally utilizing the analysis of the results for the improvement plans. Processes for the evaluation of quality are made transparent with clear criteria for evaluation and the evidence to be considered is also made clear in each plan (e.g. self-evaluation scales and measurement of KPIs). Such processes may involve repeating cycles of planning and reviews. Major plans may involve a sequence of activities over several years, with numerous steps to be taken and results of each step assessed at stages within the long-term plan. For example, a review of performance may lead to the conclusion that objectives need to be redefined and a new plan for development prepared, as shown in Figure 3.3.2.1.

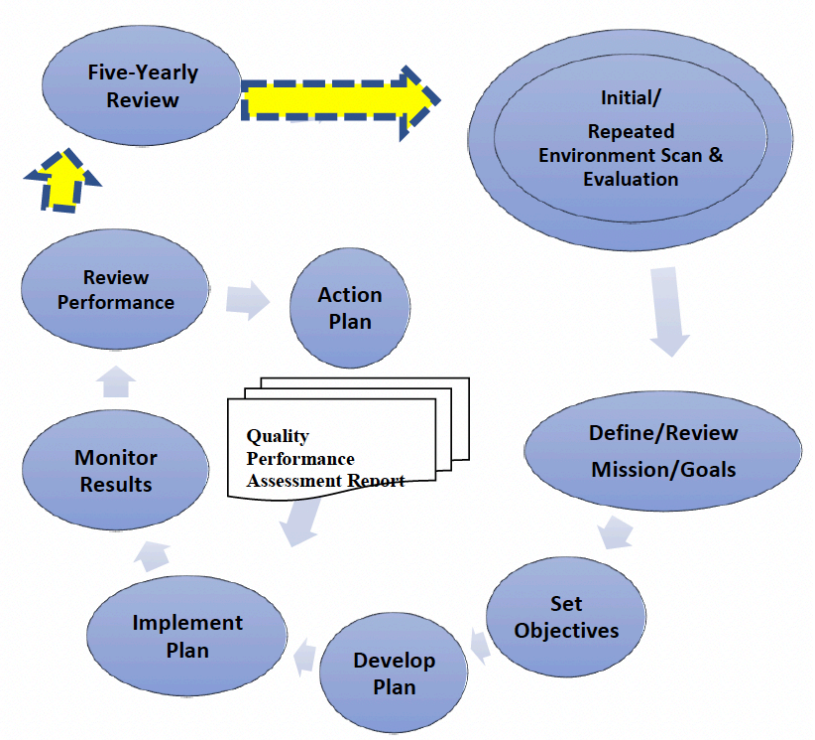


Figure 3.3.2.1: Institutional Research and Quality Cycle for Improvement (IRQCI)

While the monitoring should be continuous, there are normally two time periods when more formal assessments take place, one annual as performance is monitored and adjustments made as required, and one on a long-term cycle in which major reviews are undertaken periodically. For issues relating to Accreditation and Quality Assurance Department periodic assessments should be planned to coincide with the two-three yearly internal as well as to five-to-six yearly external reviews for accreditation and re-accreditation conducted by external accreditation agencies as well as the NCAAA.

3.3.3 Surveys and Evaluation Framework

Alfaisal University in its commitment to quality runs several satisfaction surveys and evaluations to guarantee that all processes are delivered with the highest possible level of quality. Since AU is a student-centered university, AU regards students as the principal clients of the education system and surveys of their opinions are one of the most important sources of evidence about the quality of their programs. They can provide very useful suggestions for improvement that should be considered in the quality cycle for improvement as applied through institutional research (i.e. satisfaction surveys, assessment, and evaluation). This assessment and evaluation model represents the so-called AU's Evaluation Framework Figure 3.3.3.1 This framework regards the administrative arrangements and processes used for quality assurance in the AU as an integral part of the quality cycle for improvement.

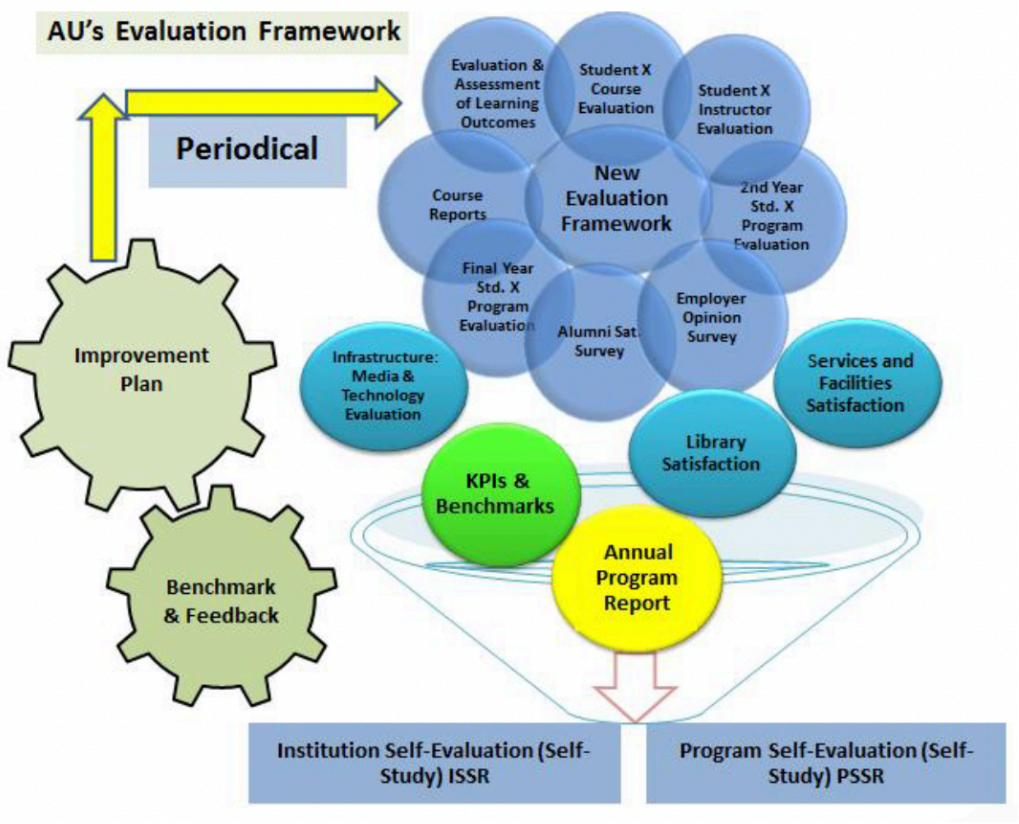


Figure 3.3.3.1 AU's Evaluation Framework

3.3.4 Conducting Satisfaction Surveys

Alfaisal University places paramount importance on the satisfaction of students and other stakeholders, recognizing it as crucial for the institution's long-term sustainability. To gauge this satisfaction, the University proactively seeks feedback directly from its stakeholders, employing questionnaires and survey forms as primary tools. This broad group of stakeholders encompasses students, faculty members, administrative staff, alumni, employers, and other external parties, ensuring a comprehensive understanding of the University's performance and areas for enhancement. The surveys are conducted regularly, throughout the academic year depending on the frequency of the surveys. All surveys/questionnaires administered within the university must undergo a thorough analysis, and their results must be interpreted by the relevant academic/administrative units.

Crucially, the essence of conducting stakeholder satisfaction surveys lies in the formulation of improvement or action plans. These plans are meticulously developed based on the insights, conclusions, and recommendations derived from the survey data, ensuring that stakeholder feedback directly informs the university's continuous improvement strategies.

The task is under the responsibility of the DAQA in cooperation with other university academic and administrative Units. To ensure an effective stakeholder satisfaction survey program, the office focuses on measuring stakeholder perceptions based on how well the university delivers on the institution's critical success factors and dimensions. These usually include factors like service promptness, staff responsiveness, and understanding of the stakeholders' problems.

3.3.5 Survey Information Flow

AU has a well-defined mechanism to enable the planned submission of the different types of satisfaction surveys as shown in Table 3.3.5.1. The submission must be planned and scheduled in advance according to the progress of each semester.

All satisfaction surveys are required to be automated within the AU-Evaluation Framework, which represents a main component of the Quality Assurance System.

Table 3.3.5.1 Survey Information Flow

Survey Title	Who will be surveyed? The Target Audience	Copy	Reporting	Analysis/ Recommendations
Course & Instructor Evaluation Survey (CES)	Students (all Courses): All Colleges	• President • DAQA • College Deans • Vice-Deans QAA • Faculty Members	DAQA	Respective Colleges
Student Experience Survey (SES) 2nd Year Experience	Students (2nd Year): All Colleges	• President • DAQA • College Deans • Vice-Deans QAA	DAQA	Respective Colleges
Program Evaluation Survey (PES) Final Year Experience	Students (Final Year): All Colleges	• President • DAQA • College Deans • Vice-Deans QAA	DAQA	Respective Colleges
Alumni Survey	Alumni All Colleges	• President • DAQA • College Deans • Vice-Deans QAA • Placement office	• DAQA • QAA Committees in respective Colleges	Respective Colleges
Employer Survey	Employers	• President • DAQA • College Deans • Vice-Deans QAA • Placement office	• DAQA • QAA Committees in respective Colleges	Respective Colleges
Satisfaction Survey	Students	• President • VPs • Dean of SA • DAQA	• DAQA • Librarian • SA Department • IT Department	Librarian SA Department IT Department

Survey Title	Who will be surveyed? The Target Audience	Copy	Reporting	Analysis/ Recommendations
		• College Deans • Vice-Deans QAA • Librarian • IT Dept		
Faculty Satisfaction Survey	Faculty	• President • VPs • Dean of SA • DAQA • College Deans • Vice-Deans QAA • IT Dept	• DAQA • Librarian • HR Department • IT Department	HR Department IT Department
Employee Satisfaction Survey	Employees	• President • VPs • DAQA • College Deans • Vice-Deans QAA • HR Dept • IT Dept	• DAQA • HR Department • IT Department	Administrative Units HR Department IT Department
Services Provided and Facilities (food) Satisfaction Survey	Students	• President • VPs • DAQA • College Deans • Facilities Dept	• DAQA • Facilities Department	Facilities Department
Services Provided and Facilities (food) Satisfaction Survey	Faculty Employees	• President • VPs • DAQA • College Deans • Facilities Dept	• DAQA • Facilities Department	Facilities Department

3.3.6 General Guidelines for Satisfaction Surveys

To maximize their utility, student surveys should adhere to several fundamental principles.
It must be made clear to students that all survey responses are confidential and anonymous.

- Course evaluation surveys should be distributed and collected by someone other than the course instructor (in case of hard copies).
- Surveys should include common questions to enable comparisons both within and between departments, colleges and institutions. (The use of common questions does not prevent the addition of optional additional course-specific or institution-specific)
- Some open-ended questions should be included to allow respondents to comment on additional concerns.

- In addition to several individual items relating to matters considered important, surveys may include one or two summary items that serve as general quality indicators.
- For benchmarking purposes, surveys should be distributed in similar ways and at similar times and comparisons should be made between comparable institutions.
- Questions should be consistent over time (normally at least three years) so that valid trend data can be obtained.
- The validity of responses depends on having a reasonable response rate. A response rate of at least 80% is normally essential.

To encourage participation:

- Surveys should not be overused.
- Active use of survey responses is crucial, and it is important to communicate summary reports and actions taken in response to the participants.
- The surveys should not be too long (ideally consisting of 20 to 25 item, plus a small number of open-ended items)

3.3.7 Response Scale

It is recommended that each item in the surveys be responded on a 5-point Likert scale. The recommended scale is as follows:

1. Strongly Disagree
2. Disagree
3. Neutral (or undecided)
4. Agree
5. Strongly agree (with the statement)

3.4 Mapping and Assessment of Learning Outcomes via IRQCI

AU has a well-established process that complies with the mapping and assessment of Learning Outcomes, which include Institutional, Program, and Course level learning outcomes. The Institutional Research and Quality Cycle for Improvement (IRQCI) facilitates part of this compliance process as it is multifaceted. One important facet is in the context of Teaching and Learning which takes the form of a teaching and learning quality cycle for improvement (IRQCI- Teaching and Learning) as shown in Figure 3.4.1. This improvement cycle facilitates and ensures the continuous development, assessment, and improvement of learning outcomes, contributing significantly to the overall quality of "Teaching and Learning".

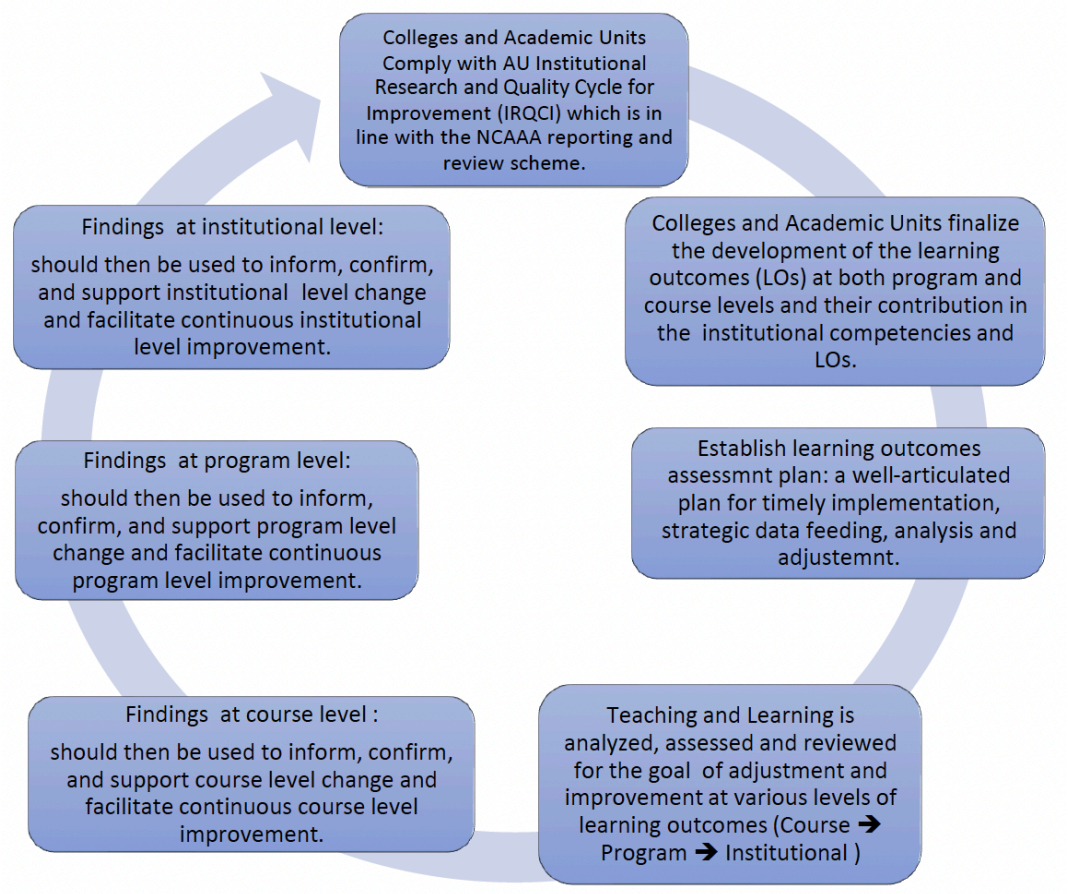


Figure 3.4.1: Institutional Research and Quality Cycle for Improvement (IRQCI- Teaching and Learning)

The institutional research and quality review cycle in the context of “Teaching and Learning" is in-line with the NCAAA reporting and review scheme. The milestones presented in Figure 3.4.1 are operationally performed by quality units of corresponding colleges and programs and then overseen by the Institutional Teaching and Learning Committee.

Colleges and departments cooperate with and participate in general institutional strategies for improvement and arrange complementary further initiatives to deal with quality issues found in their own programs. Their contribution to the IRQCI is formally documented with the specifications along with the reports they produce. The diagram shown in Figure 3.4.2 illustrates the workflow and relationship of some important specifications and reports (i.e., program specifications, course specifications, course reports, and program reports) to the quality cycle for improvement in Teaching and Learning. The most important part of this cycle is the assessment of learning outcomes and the feedback collected from each program.

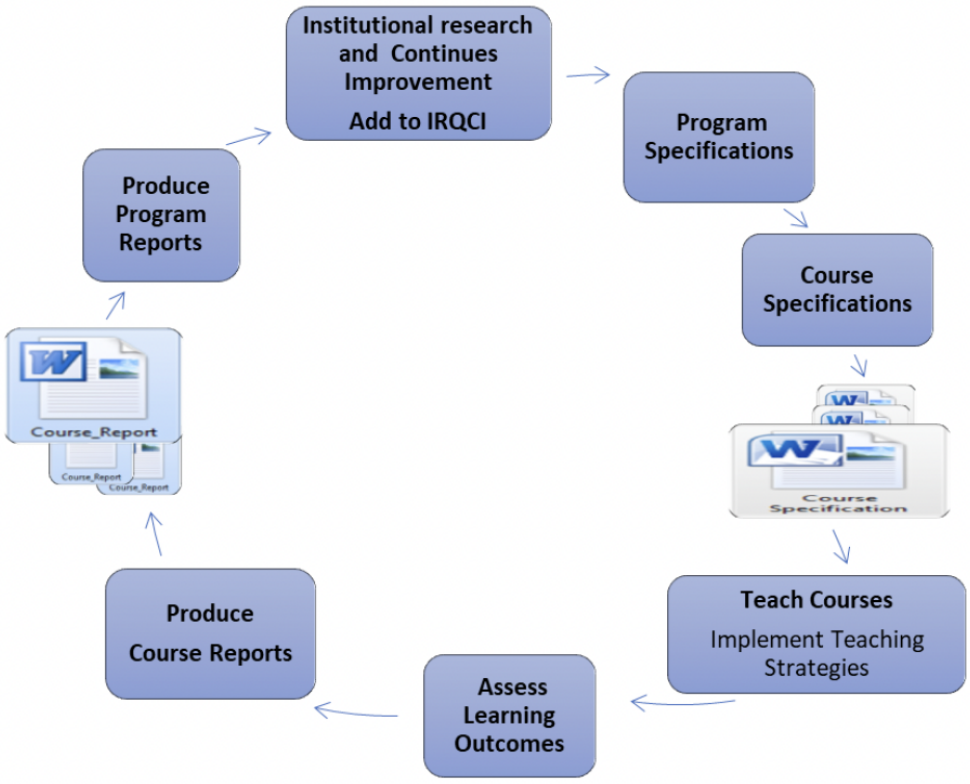


Figure 3.4.2: AU's Quality Cycle for Improvement for Teaching and Learning

Figure 3.4.3 illustrates the flow of process and relationship for the program quality cycle for teaching and learning.

Figure 3.4.3 Program quality cycle for teaching and learning

The flow of Information through the NCAAA Forms (Program / Course / Field Specifications / Reports and Self Study Reports) is summarised in Table 3.4.1

Table 3.4.1: Flow of Information (Forms and Reports)

Report/ Form	Filled By	Approved by:	Document / Report Copies Distribution
Course Specification	Faculty members	Department Chair + Dean + College/ Program QAA Unit	**Course Specifications** NCAAA assumes that all course specifications are available as part of the study plan and the program curriculum during the initial approval. All course specifications must be collected and filed. Individual course specifications should be prepared for each course in a program and kept on file with the program specification. The purpose is to make clear the details of planning for the course as part of the package of arrangements to achieve the intended learning outcomes of the program. Subsequently, course specifications should include the knowledge and skills to be developed, ensuring compliance with the National Qualifications Framework and the overall learning outcomes of the program, the strategies for teaching and assessment in sufficient detail to guide individual instructors, as well as the learning resources, facilities requirements, and any other special needs. Course specifications should be prepared for all courses included in the Program Study Plan. The course specification includes the course learning outcomes and the strategies for developing those learning outcomes within different learning domains described in the National Qualifications Framework, processes for course evaluation based on evidence with verification of interpretations of that evidence and planning for improvement. Copies of the course specification should be provided to the dean of the college, to the program head/ coordinator responsible for the program, and to the QAA department.
Course Report	Faculty members	Department Chair + College/ Program QAA Unit	**Course Report** To be completed by course instructors at the end of each semester and given to the program coordinator/head. For courses taught during the semester. If the course is taught in more than one location the course report should be prepared for each location by the course instructors responsible for the course in each location. A combined report should be prepared by the course coordinator and a separate location report which describes the progress made during the semester. Copies of the course report should be provided to the dean of the college, to the program head/ coordinator responsible for the program, and to the QAA department.
Field Experience Specification	Faculty Member + Program Committee + College QAA Unit	Department Chair + Dean + College/ Program QAA Unit	**Field Experience Specification** NCAAA assumes all Field Experience specifications are available as part of the study plan and the program curriculum. All Field Experience specifications must be collected into one single file. In many professional programs, a field experience activity (which may be called a practicum, a cooperative program, an internship, or another title) is one of the most valuable components of a program. Although normally offered off-campus in an industry or professional setting and supervised at least in part by people outside the institution, it should be considered the equivalent of a course and planned and evaluated with considerable care. Detailed information should be provided to indicate as clearly as possible what students should learn and what should be done to ensure that learning takes place. This should involve careful preparation of the students and planning in cooperation with the agencies where the students will be gaining their field experience. It must also involve some follow-up activities with students to consolidate what has been learned and summarize other situations they are likely to face in the future. The arrangements for these preparatory and follow-up activities and the processes that will take place during the field experience should be included in the field experience specification. Like the other templates, several items apply to most field experience activities. However, additional matters can be added if needed to meet any requirements for a program, college, or institution. Copies of the field experience specification should be provided to the dean of the college, to the program head/coordinator responsible for the program, and to the QAA department.
Field Experience Report	Faculty Members	Department Chair +	**Field Experience Reports** Field experience reports should be prepared each semester to document what happened, and how effective the program has been, and to review the results and make plans for any future adjustments to improve it. The main elements of the report are similar to those for regular courses though necessarily different in some respects because of the nature of the activity.

Report/ Form	Filled By	Approved by:	Document / Report Copies Distribution
		College/ Program QAA Unit	Copies of the field experience report should be provided to the dean of the college, to the program head/coordinator responsible for the program and to the QAA department.
Program Specification	faculty members + College/ Program QAA Unit	College/ Program QAA Unit + Dean	**Program Specifications** The primary purpose of the program specification is to support the planning, monitoring, and improvement of the program by those responsible for its delivery. It should include sufficient information to demonstrate that the program will meet the requirements of the Standards for Accreditation and Quality Assurance Department of Higher Education Programs, the National Qualifications Framework, and any specific requirements relating to professional accreditation in the field of study concerned. In addition to guiding those teaching in the program, the program specification is a key reference for processes of accreditation by the Commission. This should include: **Course Planning Matrix** Mapping of the Program Learning Outcomes to the Courses. Checklist courses against learning outcomes. Copies of the program specification should be provided to the dean of the college, to the program head/ coordinator responsible for the program, and the QAA department.
Program Annual Report	Department Chair + College/ Program QAA Unit	Department Chair + College/ Program QAA Unit + Dean + VP Academic Affairs	**Annual Program Report** A program report should be prepared at the end of each year after the consideration of all the course reports and other information about the delivery of the program. The report should be based on the program specification and describe how and what happened in the program compared with what was intended to happen, report on its quality, and indicate any changes that should be made for future delivery because of experience in the year concerned. The program report would normally be prepared by a program coordinator/director, reviewed by a program committee, and kept on file with the program specification as an ongoing record of the continuous improvement carried out for the program over time. The matters identified for inclusion in a program report focus on specific matters likely to be significant in most programs. However additional matters may be included if considered relevant to a particular program. The action plan developed following the initial ratings on relevant sections of the Self Evaluation Scales for Higher Education Programs should identify priorities for development and matters of concern that should be closely monitored continuously. Ratings on the matters selected for continuous monitoring should be included in the annual report. The report on quality in the program should be based on evidence provided by a range of sources, including students and others, and interpretations of that evidence should be verified by someone not directly involved in it. An important element in this process must be an appropriate mechanism for checking levels of student achievement against the levels in similar programs elsewhere. The reports should include all the NCAAA key performance indicators that can be used for within-institution comparisons as well as monitoring aspects of the quality of the program over time. Performance indicators other than the ones specified by the NCAAA can also be used based on specific program/college development requirements. The annual report should include an action plan that indicates action to be taken in response to the evaluations undertaken and subsequent reports should consider the results of that action as well as any new information emerging at that later time. Procedures should be in place to ensure that course and program reports are completed as soon as possible so that any necessary responses can be implemented without undue delay. To enable senior administrators responsible for academic affairs to continuously monitor the quality of programs at Alfaisal University. Information should be provided each year on key performance indicators applicable to all programs. Annual program reports should be prepared by the program coordinator in consultation with faculty teaching in the program or a program committee. The reports are provided to the Chair of Department Chair of Department and the college dean and used as the basis for any modifications or changes that are required in the program. They should be retained on file to provide a record of developments in the program for use in periodic program self-studies and external reviews for accreditation.

Report/ Form	Filled By	Approved by:	Document / Report Copies Distribution
			Where reference is made to advice or comment from an independent evaluator, advice should be obtained from a person familiar with the program who is not directly involved in its delivery. Copies of the program specification should be provided to the dean of the college, to the program head/ coordinator responsible for the program, and to the QAA department.
Self-Study Report-Program **(SSRP)**	Department Chair + College/ Program QAA Unit	Department Chair + College/ Program QAA Unit + Dean + VP Academic Affairs	**Program Self-Study Report** A periodic program self-study is a thorough examination of the quality of a program taking account of the mission and objectives of the program and the extent to which they are being achieved. The standards for Accreditation and Quality Assurance Department are defined by the NCAAA including the National Qualifications Framework. Conclusions should be supported by evidence, with verification of analysis and conclusions, and advice from others able to offer informed and independent comments (e.g. internal and external reviewers).

3.4.1 Program Review Cycle

All programs should periodically be reviewed and evaluated for continuous improvement and to ensure programs offered continue to be relevant, effective, well managed and to provide appropriate value to students and stakeholders.

Program Annual Review: This review is conducted annually to monitor and assess the effectiveness, quality, and relevance of the programs. It serves as a systematic process to gather information, analyse data, and make informed decisions about the continuous improvement of the programs. The purpose of the annual review is to:

- Ensure programs meet the institution's standards for quality education and the alignment with its mission and goals.
- Assess the attainment levels of program learning outcomes (PLOs)
- Identify strengths and weaknesses to enable decision-making for continuous improvement and implement changes.
- Assess whether programs remain relevant considering changing societal needs, technological advancements, and industry trends.
- Engage stakeholders (students, alumni, faculty, employers, advisory boards, etc.) and obtain their inputs.
- Provide evidence required for accreditation and ensure compliance with established standards.
- Provide valuable data and insights that aid in resource allocation.
- Assessing the achievement of program KPIs to monitor progress in program performance.

At the end of the review, a program annual report (APR) should be generated with recommendations and action plan for improvements.

Program Review Cycle: This review should be conducted every five to seven years. Programs with programmatic accreditation (i.e. NCAAA, ABET, AACSB) may use their accreditation review to fulfil this purpose. The purpose of the program review cycle is to:

- Ensure programs remain effective, relevant, and aligned with evolving educational standards and industry requirements.
- Identify strengths and areas and priorities for improvement.
- Review program goals and educational objectives.
- Seek accreditation of programs from relevant accrediting bodies to demonstrate their commitment to quality education.
- Adapt and keep pace with the continuously changing educational landscape and ensure graduates are equipped with the necessary knowledge and skills to succeed in their fields.

- Obtain and incorporate stakeholders input to ensure programs are aligned with the needs of students, employers, and the broader community.

At the end of the review, a self-study report (SSR) should be generated with recommendations and action plans for improvements.

3.5 Graduate Attributes and Student Learning Outcomes

(Mapping Institutional Learning Outcomes (ISLOs)), Program Learning Outcomes and Course Learning Outcomes)

AU graduates are expected to acquire and demonstrate a set of certain characteristics distilled from the AU core values. These characteristics provide the Graduate Attributes and Institutional Student Learning Outcomes (ISLOs) (institution-wide skills and competencies) that AU aspires to have for its graduates to be able to make positive changes in the community and serve as guidelines for the development of AU's academic programs.

The origin of these Core Values came from the King Faisal Foundation (KFF) which has stemmed from respecting Islamic Principles while benefiting from Higher Education Strategies of the Kingdom and international best practices.

The King Faisal Foundation was established by the heirs of the late King Faisal to carry on his legacy of "gifts of hope" that result in harvests of educated and prosperous individuals. The deeply held principle was that a well-educated population was the foundation for a strong nation.

The Foundation has always promoted a pragmatic approach to furthering the opportunities for Saudi youth. The creation of a university that strives to achieve excellence in several fields is yet another important advancement toward fulfilling its desire to enrich the country's enterprising individuals with the ability to compete on a global level.

Within the framework lies a great emphasis and caring for human development, which is the most important basic factor in total development, Alfaisal University extends its projects in serving education based on the strong legacy left by the late King Faisal to empower, through education, responsible Saudi citizens who will become the leaders for positive change in society.

- *"It is not of importance that we build institutes and celebrate their inauguration. The important thing is that we exert all our efforts to benefit from such institutes to realize what our nation expects from us...."*
- *"The education of our youth rests on three foundations: Faith, Knowledge and Performance."*

His Majesty the late King Faisal bin Abdul Aziz

AU aspires to preserve and maintain such a legacy through the implementation of its core values shown in Table 3.5.1 & Figure 3.5.1. Therefore, it has been decided that Alfaisal University espouses the following core values as stated in the university charter, the university's first strategic plan, and the university's second strategic plan:

Table 3.5.1 AU's Core Values

	AU Core Values	
1	**Culture**	Understand and value core elements of Saudi culture.
2	**Research & Knowledge**	Contribute new knowledge in the fields of science and technology.
3	**Performance**	Commit to continuous improvement in performance and quality.
4	**Faith**	Honor the role of faith in life
5	**Integrity**	Demonstrate professional and institutional integrity.
6	**Responsibility**	Embrace social and environmental responsibility.
7	**Honesty**	Demonstrate honesty in one's actions and treatment of others.

	AU Core Values	
8	**Service**	Provide value-added service at the local, regional, and international levels.
9	**Learning**	Instil the habit of lifelong curiosity and learning.
10	**Equal opportunity**	Strive for equal opportunity within the context of valuing talent and ability.
11	**Leadership**	Demonstrate leadership for academics, research, and service, and build leaders.

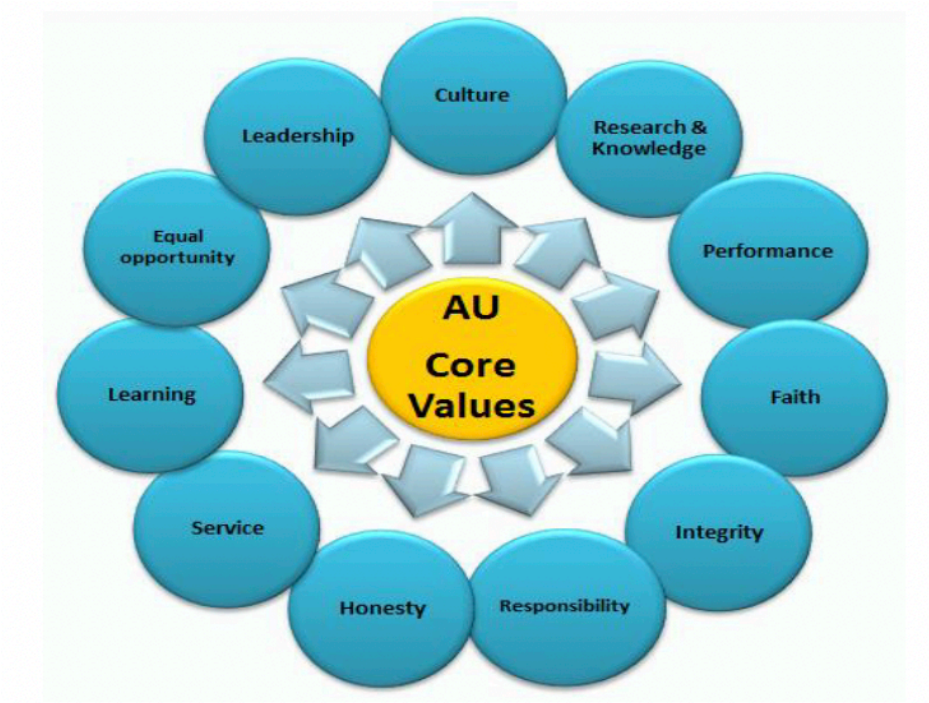


Figure 3.5.1 AU's Core Values

These values are not merely words; they influence outcomes at every level, from daily operations and interactions to the formulation of student learning outcomes and the establishment of long-term goals and objectives. These core values represent eleven commitments made both individually and collectively as an organization to those we serve.

In alignment with these core values, AU has established a three-tiered framework for learning outcomes: Institutional level, Program level, and Course level, as shown in the Intended Learning Outcomes (ILOs) Framework Figure 3.5.2 For colleges offering multiple programs or concentrations (e.g., COB and COE), an additional sub-layer of common learning outcomes is identified at the college level, as illustrated in Figure 3.5.3. This framework further aligns with a dynamic, multi-tier architecture of visions, missions, and objectives.

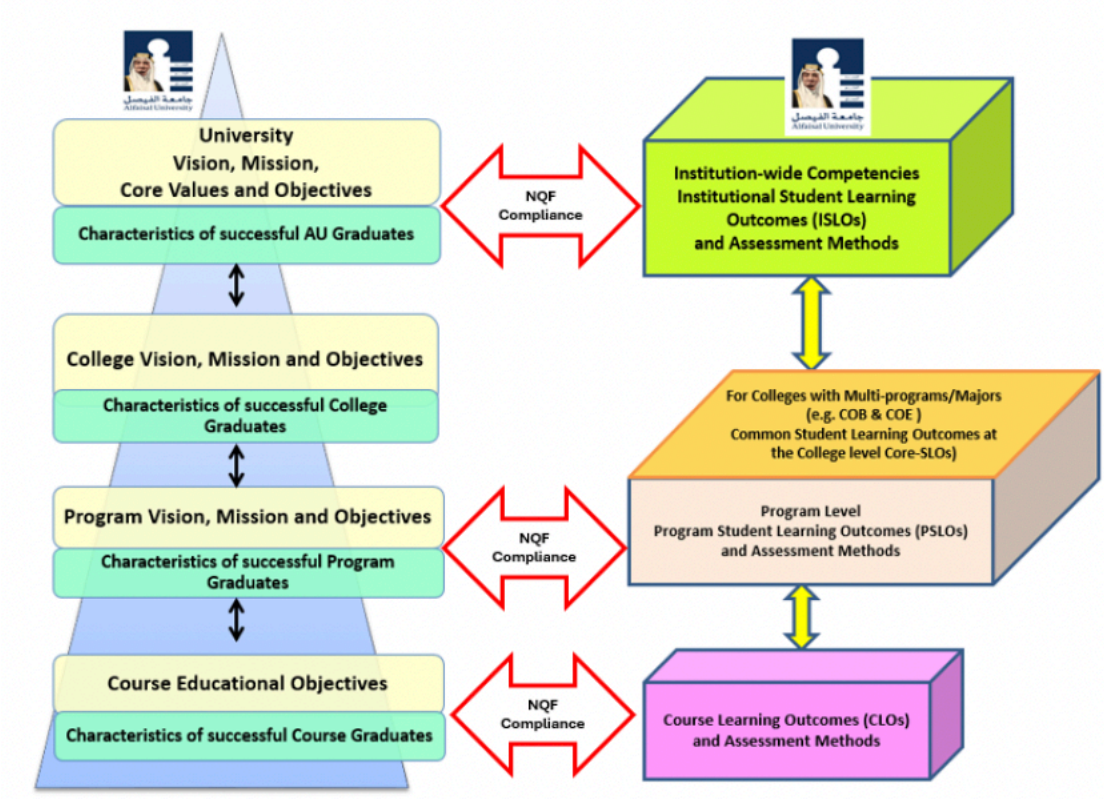


Figure 3.5.2: Learning outcomes are organized and mapped in a framework of three tiers: institutional, program, and course.

The Intended Student Learning Outcomes (ISLOs), derived from this three-tier framework, are finalised following a thorough and comprehensive deliberation and consultation with relevant academic and professional advice, as evidenced by numerous external review reports. The framework ensures that the derived ISLOs align with the National Qualifications Framework - NQF and reflect AU's core values. In addition, feedback from graduates is systematically gathered and consultations with employers and advisory boards are conducted regularly to assess the relevance of the intended learning outcomes and determine the extent to which new knowledge and skills need to be developed.

The intended learning outcomes encompass the knowledge, skills, competencies, abilities, and attitudes that students are expected to develop and demonstrate as a result of their comprehensive experience at the university. Upon successfully completing their curriculum and/or graduating from Alfaisal, students will have acquired, practiced, applied, and mastered the core competencies and skills encapsulated in the Institutional Student Learning Outcomes (ISLO). A crucial aspect of the ISLOs is the expectation that graduates will not only possess the ability to perform the described tasks but also experience a beneficial impact on both their personal and professional lives. The measurement and assessment of these ISLOs incorporate a range of methodologies, from direct and indirect approaches to an integrated evaluation framework that combines assessments at the course, program, and institutional levels.

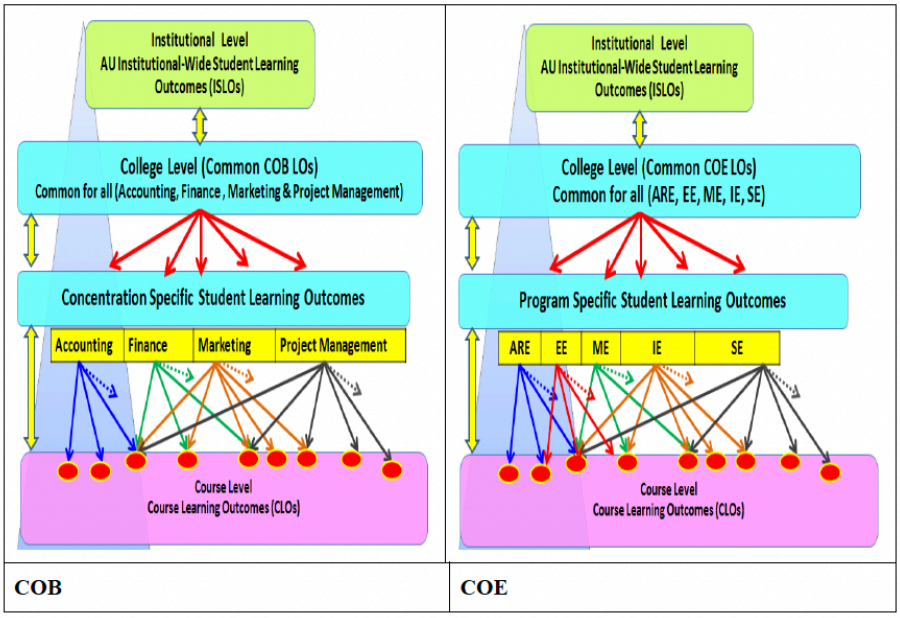


Figure 3.5.3: In special cases for colleges with more than one program or concentration (e.g. COB and COE) additional sub-layers of common learning outcomes are defined at the college level.

AU has well-defined program learning outcomes that are aligned with the institution-wide learning outcomes to foster the desired skills and competencies. Prior to the introduction of each respective program, foundational documents, including detailed program specifications, course learning outcomes, and syllabi, are developed with precision well in advance. These crucial documents are rigorously reviewed and endorsed by distinguished consultants from leading public universities in the Kingdom of Saudi Arabia (KSA) and external international experts from prestigious universities.

3.5.1 AU Graduate Attributes and Institutional Learning Outcomes

The curriculum delivery system at Alfaisal University (AU) is strengthened by a well-structured assessment framework, that is meticulously integrated throughout the study plan of each program. This framework is purposefully designed to systematically monitor and evaluate the achievement of both broad institutional learning outcomes and specific program and discipline-oriented outcomes. It incorporates essential components that support the review of learning outcomes and facilitate their attainment by AU students.

The institutional learning outcomes at Alfaisal University are articulated through seven essential skills and competencies, which are integral to the AU graduate profile. These competencies represent the fundamental attributes that the university expects all its graduates to possess. Upon the successful completion of their degree programs, AU graduates are expected to demonstrate mastery of these critical skills, thereby reflecting the university's commitment to nurturing individuals who are not only well-prepared for professional achievements but also for meaningful personal development.

- Communication Skills: Mastery in effectively conveying and exchanging information individually and in teams, across both Arabic and English, through proficient reading, writing, speaking, listening, and presenting in diverse styles and media.
- Information Technology and Numerical Skills: Proficiency in leveraging modern technologies and computational skills to gather information from various sources, solve problems analytically, and make informed decisions.
- Integrity and Ethics: A steadfast commitment to ethical conduct and integrity, upholding high moral standards in professional pursuits.

- Interpersonal and Responsibility: A demonstrated responsibility towards environmental, economic, social, and personal concerns, applying disciplinary knowledge and expertise for community service and personal fulfilment in society.
- Professional Development: The ability to collaborate effectively as a team member or leader, accomplishing tasks and achieving team objectives.
- Lifelong Learning: An ongoing commitment to personal and career development, staying abreast of the latest knowledge and technologies in their discipline to navigate an ever-changing environment.
- Critical Thinking and Problem Solving: The capability to employ logical and creative reasoning, utilizing critical thinking and scientific methods to scrutinize facts, theories, and problems, thereby making reasoned decisions and pursuing practical solutions to real-world issues.

3.5.2 Relationship of Program Learning Outcomes (PLOs) to the Institutional Student Learning Outcomes (ISLOs)

Alfaisal University considers student learning outcomes to be specific measurable skills, competencies, and knowledge. The attainment of these learning outcomes is expected to be based on the learning experience (which may include a course, program, degree or certificate, extra-curricular activities, library, and student affairs activities). The Program Learning Outcomes (PLOs), also known as discipline-specific learning outcomes, are specific to each program because they address the required knowledge and skills for the degree to be granted. These learning outcomes should also be considered when writing the course specification and the syllabus of each course in the program. The set of courses in a program should all together guarantee the achievement of the program (PLOs). Upon graduation, graduates will have the ability to demonstrate mastery of skills, in-depth knowledge, and competencies required for their respective degrees. The graduates will acquire, practice, apply, and become proficient in the core competencies and skills required for success in their discipline.

All academic programs at AU must specify how their PLOs contribute to the university-wide learning outcomes through the three-tier structure and how PLOs are supporting the achievement of the institution-wide learning outcomes. When developing Student Learning Outcomes (SLOs) in domains of learning AU academic programs must make sure that the learning outcomes comply with the NQF. The learning outcomes should be linked and mapped to the courses in a process called allocation of learning outcomes (levels one and two at the bottom of the model - Figures 3.5.2 and 3.5.3, i.e. courses vs. learning outcomes). Program learning outcomes are linked and mapped to the institutional learning outcomes as summarized in the mapping scheme as shown in (Tables 3.5.2.1 & 3.5.2.2). Table 3.5.2.1 shows how general education courses offered by CSGS contribute to the Institutional Student Learning Outcomes (ISLOs). However, the three-tier framework ensures that the learning outcomes are assessed and evaluated across the three levels with evidence to support whether the outcomes have been achieved or not.

Program learning outcomes are of course specific to each program because they address the required knowledge and skills for the degree to be granted. AU requires that all SLOs being in compliance with the KSA-NQF, however, AU encouraged all colleges and programs to research further into widely and internationally accepted qualification frameworks of each discipline and adapt them to the KSA environment and requirements. This initiative has been undertaken by colleges and programs including (COM, COE, COB and CSGS)) which defined SLOs as what students are expected to know and be able to do by the time of graduation. These relate to the skills and competencies that students acquire during their enrolment to the program. The outcomes have been aligned with selected international accreditation agencies as well (e.g. ABET and AACSB).

Table 3.5.2.1 General Education (GE) contribution to the Institutional Student Learning Outcomes (ISLOs)/Institution-Wide Learning Outcomes

Institution-wide learning outcomes		
Domain/ Category of	**Skills**	**Competencies/Values**

Institution-wide learning outcomes								
Institution-Wide Learning Outcomes		Communication Skills	Information Technology and Numerical Skills (Computation)	Critical Thinking and Problem Solving	Interpersonal and Responsibility	Professional Development (including Teamwork & Leadership)	Lifelong Learning	Integrity and Ethics
PLOs (GE) contribute to the ISLOs		↑	↑	↑	↑	↑	↑	↑
General Education Learning Outcomes		By the end of (GE) classes, GE students will be able to express themselves accurately and confidently, both orally and in writing. They will be able to use a variety of methodologies (individual and group written, research and oral projects/ presentations) to ensure good mastery of these skills.	By the end of (GE) classes, GE students will be able to use information technology (internet & digital media) on a very regular basis for research, accessing the class information system (Moodle), and for vital communications with the Professor and other students through (e-mail, messaging, phone, etc).	By the end of (GE) classes, GE students will be able to examine problems from different viewpoints. Be able to use various methodological techniques in approaching research which includes the scientific method of hypothesis, testing, proof, explaining, analyse, demonstrating, illustrate, and drawing conclusions.	By the end of (GE) classes, GE students will be able to avoid plagiarism and value of own original expressions	By the end of (GE) classes, GE students will be able to work in groups in all classes. Be able to identify challenges associated with leadership and value collaborative efforts.	By the end of (GE) classes, GE students will be able to demonstrate a continuous process of learning and create their own norm of inspiration for continued and life-long learning by staying ahead of the curve in technology and accessibility of information, techniques and thrust to reason and investigate	By the end of (GE) classes, GE students will be able to think rationally and ethically about moral questions.
ARB 101	**Arabic Language I**							
ARB 112	**Arabic Language II**							
ISL 101	**Islamic Studies I**							
ISL 112	**Islamic Studies II**							
ENG 101	**Freshman English I**							
ENG 112	**Freshman English II**							

Similarly, other colleges through their programs learning outcomes (PLOs) contribute to the institution-wide learning outcomes.

Table 3.5.2.2 Schematic view of programs' (sample) contribution to the Institutional Student Learning Outcomes (ISLOs/Institution-Wide Learning Outcomes)

			Skills			**Compentencies/Values**			
No#	**College**	**Program**	**ISLO (S1) Communication Skills**	**ISLO (S2) Information Technology and Numerical Skills (Computation)**	**ISLO (S3) Critical Thinking and Problem Solving**	**ISLO (V1) Interpersonal and Responsibility**	**ISLO (V2) Professional Development (including Teamwork & Leadership)**	**ISLO (V3) Lifelong Learning**	**ISLO (V4) Integrity and Ethics**
1	College of Business	Bachelor of Business Administration	S3	S1	S2	V2	V3	V3	V1
2	Engineering	Architectural Engineering	S5	S1	S2, S3, S4	V2	V1, V2	V1	V1
3	College of Medicine	Master of Science in Biomedical Sciences	S4	S2	S1	V2	V2	V3	V1, V2
4	College of Pharmacy	Doctor of Pharmacy (Pharm.D.)	S8	S4, S7	S1, S2, S5, S6, S9, S10, S11,	V3, V4	V1, V2	V3	V5, V7

			Skills			Compentencies/Values			
5	College of Science & General Studies	Life Sciences	S4	S1	S2, S3	V3	V1, V2	V3	V1

3.5.3 Course Learning Outcomes

At the core of curriculum development are the Student Learning Outcomes (SLOs), which serve as the bedrock for designing courses and their specific learning objectives. Faculty members initiate the process by specifying the outcomes they anticipate successful students will achieve. These predetermined outcomes lay the groundwork for the entire course structure, including its pedagogical approach, teaching methodologies, evaluation techniques, learning environment, and supportive materials. As a result, every course at Alfaisal University is structured around a comprehensive set of Course Learning Outcomes (CLOs). These CLOs are explicitly defined and interconnected with the Program Learning Outcomes (PLOs), detailing each course's role in the broader educational objectives of the program. It is understood that no single course will address all PLOs; however, each one is designed to fulfil at least one specific PLO. Collectively, the SLOs across the curriculum and extracurricular activities aim to fulfil the Institutional Student Learning Outcomes (ISLOs), ensuring a strategic alignment across three levels of educational objectives.

The alignment among these learning outcomes is important when developing the course specifications and syllabi within each program. It ensures that the set of courses within any given program collectively meets the Program Learning Outcomes (PLOs). To facilitate effective assessment and measurement, it is imperative that learning outcomes at every level—whether institutional, program, or course-based—are articulated using active verbs.

AU’s learning outcomes are designed to encapsulate the essential knowledge and skills that the university graduates must possess to excel in their chosen fields and contribute meaningfully to their communities and the broader Kingdom. A key example of this is the emphasis on communication skills, which are integrated across all academic programs, particularly through courses offered by the general education section of the College of Science and General Studies (CSGS), which include the following:

- ARB 101 Arabic I
- ARB 112 Arabic II
- ENG 101 Freshman English I
- ENG 112 Freshmen English II
- ENG 222 Technical Writing

In addition, almost all programs have some form of communication learning outcomes. Therefore, building the desired characteristics (skills and competencies) of our graduates cannot be done on an ad-hoc approach but rather via a coherent, systematic integrated approach as described in the three tiers Framework of Learning Outcomes. Therefore, the mapping of communication learning outcomes and their contributions within the of three tiers framework of learning outcomes: Institutional level, Program level, and Course level can be represented in a simple way as shown in the schematic mapping of communication skills (Figure 3.5.3.1).

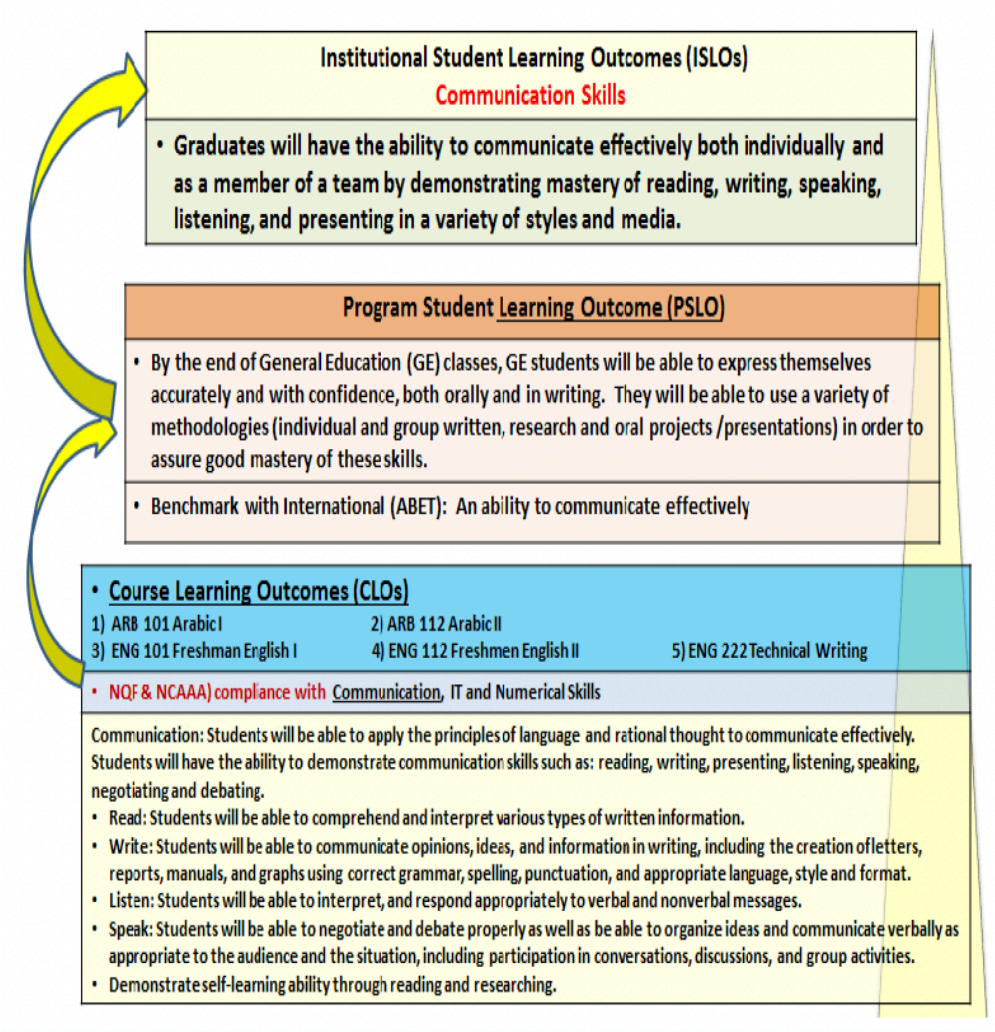


Figure 3.5.3.1: Mapping of communication learning outcomes among the three tiers Framework of Learning Outcomes

3.6 Student Assessment

Improving student learning through effective assessment is key to the success of knowledge creation, application, and sharing. Assessing Student Learning Outcomes (SLOs) is crucial for evaluating the quality of both institutions and their academic programs. This process not only checks if students are learning what they are supposed to but also gives valuable feedback to make teaching and learning better.

At Alfaisal University, the goal of assessment, which applies to all programs, is two-fold. First, it ensures that AU is reaching its educational goals and objectives with real evidence. Second, it aims to keep improving the quality of teaching and learning for the future. Therefore, the Student Learning Outcomes assessment plan is designed to make sure students are achieving the expected outcomes.

This helps in improving the success of the program and the learning experience for students, making it clearer and more accessible for faculty at all levels, from those just starting out to seasoned experts.

3.6.1 Assessment Framework

Assessment methods are ways to ascertain (or "measure") student achievement levels associated with stated student learning outcomes (SLOs). Assessment, in general, can be regarded as a systematic ongoing process

(Figure 3.7.3.1), which includes the collection of information about student learning and **the level of achievement of learning outcomes**. Normally, this process uses the time, knowledge, expertise, tools, and resources available, in order to inform decisions that affect student learning with the ultimate goals of improving quality of teaching and learning and academic standards. It involves:

1. Establishing clear, measurable expected outcomes of student learning.
2. Determining appropriate criteria and high standards for learning quality.
3. Making our expectations explicit and public in the syllabus, specifications (both course and program), systems (LOAS), guidelines and manuals.
4. Ensuring that students have sufficient opportunities (including the Teaching and Learning environment) to achieve those outcomes.
5. Systematically gathering, analysing, and interpreting evidence to determine how well performance matches those expectations and standards.
6. Using the resulting information to document, explain, and improve performance, programs, courses, instruction, student learning, and student support services – the feedback loop.
7. **Closing the loop** – Since the purpose of assessment is primarily improvement, in order for improvement to occur, the assessment loop must be closed. Closing the loop does produce rather immediate results, particularly in courses. Ways of closing the loop may include revising/improving teaching methods, incorporating learning strategies in courses, selecting alternative teaching strategies such as active and collaborative learning, revising course prerequisites, adding lab time, adopting a mastery learning approach, ensuring that students successfully complete foundational courses, scaffolding courses with progressive success opportunities, requiring tutoring when critical skills are not achieved.

3.6.2 Closing the Loop

The ultimate goal of assessment is to use assessment results to improve the curriculum and to improve pedagogy. The Student Learning Outcome Assessment Cycle begins when faculty develop a Student Learning Outcome (SLO) statement and an assessment as shown in Figure 3.6.2.1. The subsequent phase involves gathering, discussing, and analysing the assessment data. This analysis and dialogue yield recommendations for enhancements. Faculty are then tasked with developing, modifying, or updating the curriculum, teaching approaches, courses, programs, or services based on these recommendations.

It's crucial to understand that assessment is not a goal in itself, but rather a means to enhance educational quality. Through this process, evidence is gathered, analysed, and interpreted to gauge how well student performance aligns with the expectations and standards set by the faculty. The findings are then utilized to improve both teaching and learning.

Given that assessment is a continuous endeavor, it falls under the Institutional Research and Quality Cycle for Improvement, specifically within the Learning Outcomes Assessment Track. In this cycle, faculty members are involved in several critical steps: they establish Student Learning Outcomes (SLOs), conduct assessments to measure these outcomes, analyse the findings, and apply the necessary improvements based on this analysis. Following the implementation of these enhancements, the cycle restarts. This iterative process ensures continuous improvement in teaching, learning, and overall educational quality.

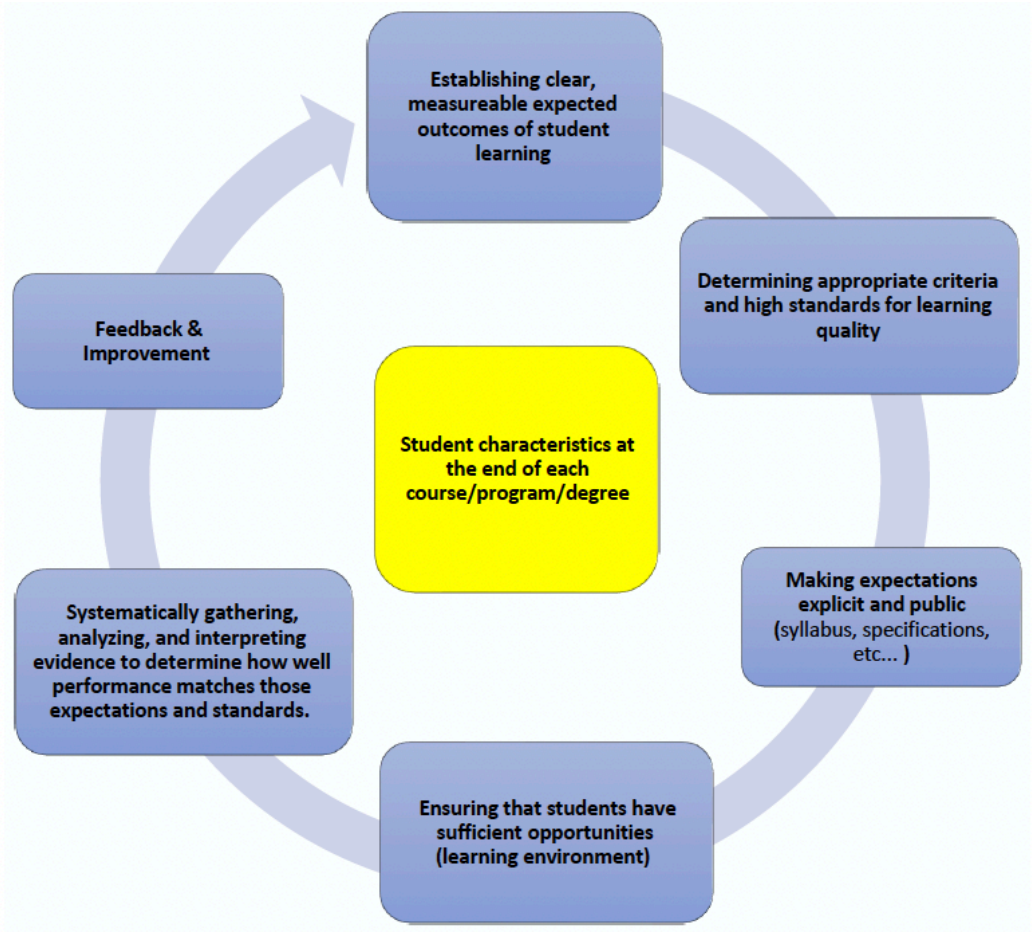


Figure 3.6.2.1 Overview of the Assessment Process and its Components.

Grades in a course, while reflecting overall success, are not precise indicators of learning achievement. They show a student's level of success or failure but do not pinpoint the extent to which specific learning outcomes have been met.

As previously mentioned, AU has implemented a structured approach encompassing three tiers of learning outcomes, alongside a detailed learning outcomes assessment framework. Figure 3.6.2.2 illustrates AU's assessment framework across the three levels: course, program, and institutional. This diagram details the assessment framework, highlighting the various stakeholders engaged at each level and the planned assessment cycle for each. It's important to note that the assessment planning and design process adopts a top-down approach, starting from the institution's mission and objectives down to the course level. In contrast, the operational aspects, including data collection and analysis, employ a bottom-up approach, moving from the course level upwards to the institutional level. This methodology is seamlessly integrated within the broader Institutional Research and Quality Cycle for Improvement (IRQCI). The IRQCI aims to advance the university's, colleges', and programs' quality assurance objectives through systematic planning, processing, evaluation, reporting, and improvement processes, thereby enhancing institutional effectiveness.

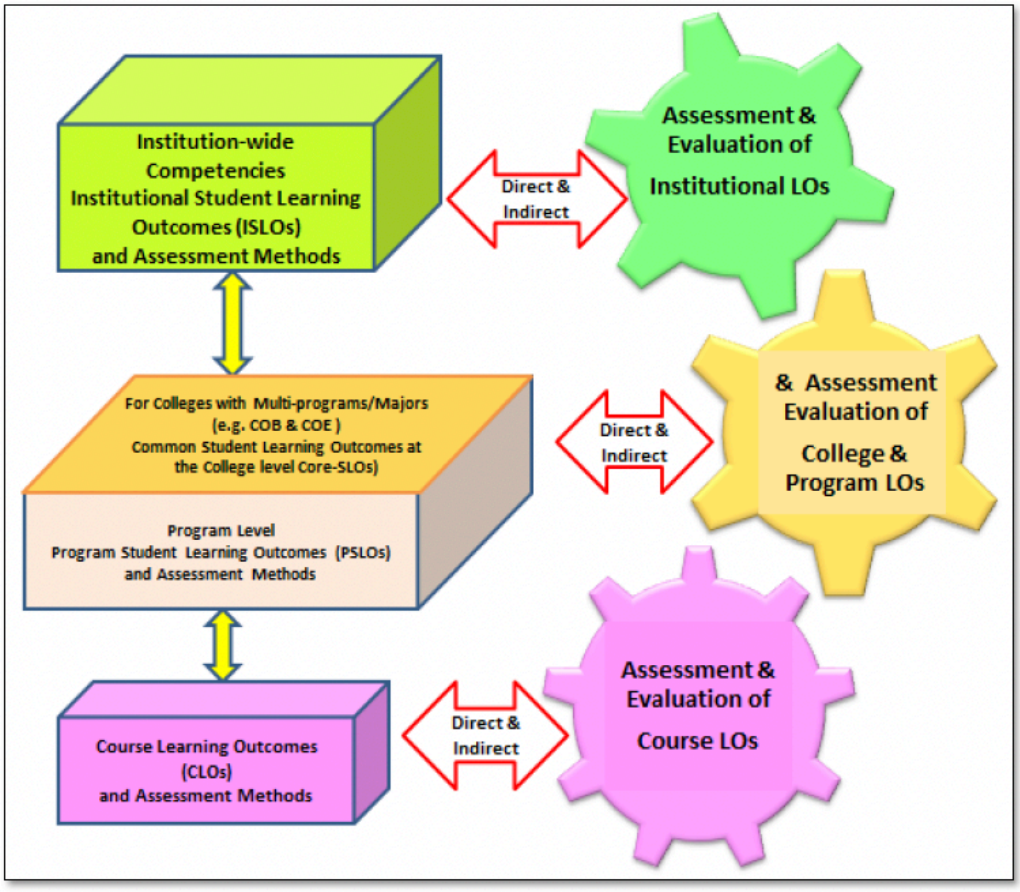


Figure 3.6.2.2 Learning outcomes are assessed, evaluated, and mapped at three levels: course, program & college, and Institutional Assessment and Achievement of Student Learning Outcomes SLOs at all Levels (within the Assessment Framework)

The Student Learning Outcomes Assessment Framework, as previously introduced, plays a crucial role in the evaluation of academic programs. This framework covers various levels, including course, program, and institutional levels, and utilizes a combination of direct and indirect assessment tools. In alignment with the hierarchy shown in Figure 3.6.2.2, the assessment process initiates at the course level. Faculty members are required to evaluate the learning outcomes of their courses through a digital tool named the Learning Outcomes Assessment System (LOAS), moving thereafter upwards to higher aggregate levels.

At each level, designated stakeholders are responsible for managing the assessment process. This group comprises faculty members, program Quality Assurance (QA) committee members, course coordinators, and program directors. An intricate assessment loop, as detailed in Figures 3.6.2.1 and 3.6.2.2, is crafted at each level with the involvement of all crucial participants. The loop includes stages such as identifying the learning environment, selecting assessment tools and objectives, establishing assessment criteria and performance indicators, gathering, and analysing data on learning outcomes, and developing feedback alongside an improvement plan.

This systematic approach ensures an exhaustive and ongoing assessment of student learning outcomes, leading to pinpointed enhancements in teaching and learning throughout the institution.

3.6.3 Evidence of Student Learning

Assessing student learning is essential for evaluating the effectiveness of educational programs. To streamline the process, assessment methods are broadly categorized into two main types: direct and indirect measures. Each category employs different approaches to gather evidence of student learning, allowing educators to comprehensively understand and improve educational outcomes.

3.6.3.1 Direct and Indirect Assessment Measures

Direct assessment involves evaluating tangible, observable products of student learning. Direct measures are probably more familiar to teaching faculty. These methods include exams, quizzes, reports, assignments and standardized testing. When test questions are aligned with the learning outcomes, they can be accurate measures of whether the desired student learning has taken place. In addition to tests and exams, direct assessments include evaluating homework assignments, research papers and other projects. Performances, speeches, or presentations can also assist in determining whether students have met set objectives and learning outcomes.

The strength of direct measurement is that faculty members are capturing a sample of what students can do, which can be very strong evidence of student learning. Direct assessment measures provide you with documented evidence of performance improvements, skills, or content mastery. However, quizzes, exams and standardized tests may not always measure the concepts they attempt to measure. Many tests offer multiple-choice, matching, or true-false items, giving students the opportunity to guess and tests may measure a student's test-taking skills rather than mastery of the material. Therefore, a possible weakness of direct measurement is that not everything can be demonstrated in a direct way, such as values, perceptions, feelings, and attitudes.

In contrast, an indirect measure is based upon a report of perceived student learning. The reports can come from many perspectives, including students, faculty, internship supervisors and employers. Indirect measure is based on gathering information through means other than looking at actual samples of student work... e.g., surveys, exit interviews, and focus groups. Also, it may require the faculty to infer actual student abilities, knowledge, and values rather than observing direct evidence of learning or achievement. Using these indirect measures, we can obtain information about students' thoughts on what and how they learned and use the students' own perceptions for assessment and evaluation of the level of achievement of learning outcomes.

Indirect measures can provide additional information about what students are learning and how this learning is valued by different constituencies. The strength of indirect measurement is that it can assess certain implicit qualities of student learning, such as values, feelings, perceptions, and attitudes, from a variety of perspectives. The weakness of this approach is that, in the absence of direct evidence, assumptions must be made about how well perceptions match the reality of actual achievement.

Because each method has its limitations, AU assessment approach combines direct and indirect measures from a variety of sources. This triangulation of assessment methods can provide converging evidence of student learning. Summary of direct and indirect assessment methods are given in **Table (3.6.3.1.1) below**.

Direct Measures	Indirect Measures
• Comprehensive exams • Essay test question • Term paper • Oral presentation • National achievement tests • Standardized tests • Certifications exams & licensure exams • Professional exams • Entry-to-program exams • Capstone courses • Multiple-choice test question • Performance (e.g., Demo, Speech, etc...) • Case studies and Case Analysis • Projects (individual or group) • Evaluation of internship or practicum	• Survey of current students: aimed at getting feedback about students' perceptions of their knowledge, skills, values, academic experiences, etc. • Course Evaluation Survey (CES) • Instructor Evaluation Survey (IES) • Survey of faculty members: aimed at getting feedback about faculty perceptions of student knowledge, skills, values, academic experiences, etc. • Survey of internship supervisors • Final Year Program Evaluation Survey (PES) • Student Experience Survey - 2nd Year Experience (SES) • Survey of employers and or recruiters aimed at evaluating general or specific competencies, skills, or outcomes. • Advisory board recommendations and comments

Direct Measures	Indirect Measures
• Annual Research Day: Students research poster competition • Research activities and published research papers by undergraduate students. • Research evaluated by faculty or external review teams. • Learning Outcomes Assessment System (a computer system to assess and evaluate learning outcomes with links to exam questions and other types of assessments) • Progression rate • Grade distribution • Portfolio assessment (hard-copy, softcopy or web-based) - reviewed by faculty members from the program, faculty members from outside the program, professionals, visiting scholars, or advisory boards. • Assessment based on Rubrics.	• Tracking Student Data related to enrolment, persistence, and performance... may include graduation rates, enrolment trends, transcript analysis (tracking what courses students take and when they take them) and tracking student academic performance overall and in particular courses. • Job placement trend, capacity, and volume. • Graduate acceptance rates (in graduate studies) • Curriculum/syllabus analysis • Performance in graduate schools • Student graduation/retention rat • Alumni Surveys: aimed at evaluating perceptions of knowledge, skills, and values gained while studying in a particular program. surveys frequently target alumni after 6 months post-graduation and include program-specific questions and institution-wide learning outcomes. • Tracking of alumni awards, achievements, and reputation • Keeping records or observing students' use of facilities and services. Example: Logs maintained by students or staff members documenting time spent on course work, interactions with faculty and other students using LMS, internships, nature and frequency of library use, computer labs, etc.

The assessment approaches detailed in the preceding table are integral to evaluating learning outcomes across all levels—institutional, programmatic, and course-specific. It's important to recognize, however, that grades on their own do not furnish comprehensive feedback on student performance. Nonetheless, when grades are aligned with detailed rubrics, they become a powerful tool for pinpointing the strengths and weaknesses in student performance.

For a thorough assessment of program learning outcomes, it is essential to engage in a structured assessment cycle. Table 3.6.3.1.1 outlines a generic template for a Program Learning Outcome (PLO) Assessment Plan. This template serves as a foundational guide for the systematic evaluation of learning outcomes.

Since its implementation, the complete assessment plan has undergone a six-year assessment period. While it is anticipated that the process will continue to evolve in the years to come, the described procedure offers a snapshot of the current methodology employed for learning outcomes assessment. To provide further insight into the practical application of these methodologies, Table 3.6.3.1.2 presents a sample of the Assessment Tools used in this ongoing process.

Table 3.6.3.1.2 Generic Template for Program Learning Outcome (PLO) Assessment Plan

For COB, COE, CSGS, & CLIR									**For COM & COP**			
Program Learning Outcome (PLO)	**First Year in Assessment Cycle**		**Second Year in Assessment Cycle**		**Third Year in Assessment Cycle**		**4th Year in Assessment Cycle**		**5th Year in Assessment Cycle**		**6th Year in Assessment Cycle**	
	1st sem.	**2nd sem.**	**3rd sem.**	**4th sem.**	**5th sem.**	**5th sem.**	**7th sem.**	**8th sem.**	**9th sem.**	**10th sem.**	**7th sem.**	**8th sem.**
PLO (1)	√ Direct & Indirect	√ Direct & Indirect		...	...							
PLO (2)			√ Direct & Indirect	√ Direct & Indirect		√ Direct & Indirect	√ Direct & Indirect	√ Direct & Indirect				
PLO (3)				...	√ Direct & Indirect	...			√ Direct & Indirect			
PLO (4)	...	√ Direct & Indirect	...	...	√ Direct & Indirect	...	...	...		√ Direct & Indirect	√ Direct & Indirect	√ Direct & Indirect

Table 3.6.3.1.2 Sample of Assessment Plan Scheme: Bachelor (COB, COE, CSGS, CLIR Five-Year Assessment Cycle, COM, COP Six-Year Assessment Cycle)

Discipline/Major	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
College of Business (COB) B. Sc. In Business **College of Engineering (COE)** B. Sc. In Engineering Mechanical Eng. Industrial Eng. Electrical Eng. Software Eng. Architectural Eng. **College of Science & General Studies (CSGS)** B. Sc. in Life Science **College of Law & International Relations (CLIR)** Bachelor of Law, LLB	• Course Learning Outcomes Assessment (CLOs)	• 2nd Year Assessment • CLOs	• CLOs	• Final year Assessment • CLOs • Internship Assessment	• Alumni Evaluation • Employer Evaluation	
College of Medicine (COM) MBBS degree **College of Pharmacy (COP)** Pharm. D.	• Course Learning Outcomes Assessment (CLOs) • Progress Test	• Course Learning Outcomes Assessment (CLOs) • Progress Test • 2nd Year Assessment	• Course Learning Outcomes Assessment (CLOs) • Progress Test	• Course Learning Outcomes Assessment (CLOs) • Progress Test • Shelf Test • USML Test	• Course Learning Outcomes Assessment (CLOs) • Progress Test • Shelf Test • USML Test • Final year Assessment	• Progress Test • Shelf Test • USML Test • Internship Assessment • Alumni Evaluation • Employer Evaluation

3.6.3.2 Rubrics Overview

AU views a rubric as a comprehensive framework consisting of scoring guidelines and criteria designed to evaluate student work, whether it be a performance or a product. For example, see rubrics used in general education courses by CSGS. Rubrics clearly define the criteria for each performance level related to a learning outcome, serving as both a grading system and an assessment tool. They include a criteria chart that outlines precisely what will be evaluated in a student's work or assignment, making them particularly useful for assessing actions, procedures, performances, or complex projects. Each rubric comprises a defining criterion, various levels of work quality, and points allocated for each quality level, thus segmenting the assigned work into components, and providing detailed descriptions of the work's characteristics at different skill levels.

Rubrics consist of rows and columns, with the rows representing the assignment's criteria and the columns indicating the levels of achievement for each criterion. Each cell within the rubric is defined by a description and point value, guiding the evaluation and scoring of an assignment. Instructors have the flexibility to create multiple rubrics, which can be reused within the same course or transferred to other courses.

As summarized in Table 3.6.3.2.1., rubrics serve multiple purposes: they articulate assignment requirements and performance standards to students, promote consistent and unbiased grading among instructors, and assist students in organizing their work to meet assignment criteria. Furthermore, rubrics provide instructors with a framework to clearly justify their evaluations to students.

- Presenting rubrics to students before starting a project or assignment is an effective strategy to communicate expectations.
- Rubrics can also facilitate peer evaluation among students, fostering a collaborative learning environment.
- For educators, rubrics offer a precise tool for assessing complex performances, projects, and assignments, enhancing the consistency of evaluations.

Table 3.6.3.2.1 Summary of improvements rubrics can provide.

Improves	Description
Improves teaching	A rubric enables faculties to better focus on each learning event to address the rubric elements.
Improve assessing	A rubric allows faculties to assess based on the expectations in the rubric.
Improves performance	A rubric lets the learner know what is expected from the beginning.
Improves expectations	Rubrics are tangible in writing.
Improves directions	Rubrics provide faculties with a determined goal which they can more easily explain.
Improves assignment quality	Rubrics specify each assignment element so the learner can focus.
Improves self-evaluation	Rubrics allow learners to compare their work to the rubric before submission.
Improves grading quality	Rubrics is specific and uniform for all learners, leaving little room for unfair grading.
Improves feedback	Rubrics can be used as a guide for teachers to address, and give feedback for each issue in an assignment.

3.6.3.3 Classification of Assessment and Types of Evidence

Assessment serves as a window into student learning. Through this window to educational improvement, we can measure the success of our students throughout their academic progress. Assessment is not a single activity; instead, it is a process of continuous improvement to select and analyze meaningful data throughout the institution that supports our commitment to high-quality learning and academic excellence. We consider the assessment of student achievement, learning, and satisfaction fundamental for Alfaisal to accomplish its mission.

AU's assessment approaches within the AU-Assessment Framework and the Institutional Research and Quality Cycle for Improvement (IRQCI) consist of direct and indirect assessment approaches to obtain different types of evidence on the achievement of learning outcomes as shown in Figure (3.6.3.3.1)

The application of these assessment measures on the Institutional Student Learning Outcomes (ISLOs) produces clear evidence of the level of achievement of the Institution-wide Learning Outcomes (ISLOs) as shown in Tables (3.6.3.3.1 and 3.6.3.3.2).

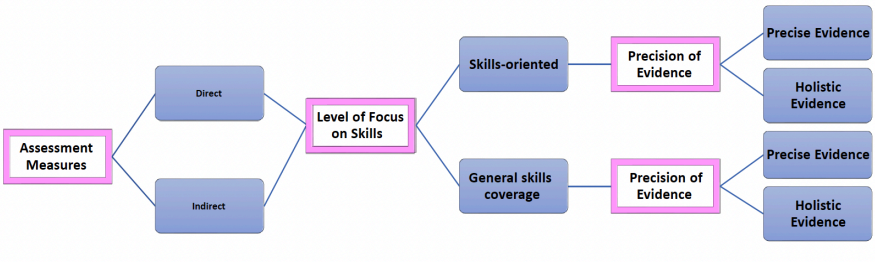


Figure 3.6.3.3.1 Classification of Learning Outcomes Assessment vs. Types of Evidence.

Table 3.6.3.3.1 Abstract mapping of the Institution-wide Learning Outcomes/(Student Learning Outcomes (SLOs)) against types of evidence used. Abstract descriptions of how direct assessments contribute to the achievement of Student Learning Outcomes (SLOs).

Institution-wide learning outcomes							
Domain/ Category of Institution-Wide Learning Outcomes	**Skills**			**Competencies/Values**			
	Communication Skills	Information Technology and Numerical Skills (Computation)	Critical Thinking and Problem Solving	Interpersonal and Responsibility	Professional Development (including Teamwork & Leadership)	Lifelong Learning	Integrity and Ethics
LOs Assessment: Direct Approach	↑	↑	↑	↑	↑	↑	↑
	Graduates will have the ability to communicate effectively both individually and as a member of a team by demonstrating mastery of reading, writing, speaking, listening, and presenting in a variety of styles and media.	Graduates will have the ability to use modern technologies effectively and employ computation skills to acquire information from different sources, investigate and solve problems and reach the right decisions.	Graduates will have the ability to reason logically and creatively and apply critical thinking and scientific methods to explore facts, concepts, theories, and problems to make informed and responsible decisions and/or to pursue practical solutions for real-life problems.	Graduates will have the ability to maintain responsibility for environmental, economic, social, and personal concerns and use their disciplinary knowledge and professional expertise to serve the community and value their personal fulfilment in society.	Graduates will have the ability to work effectively with others as a team member and/ or collaboratively with others as a team leader to accomplish tasks and achieve team goals.	Graduates will have the ability to develop their capacity for personal career progression and to remain at the leading edge in their discipline to respond to the challenges of an ever-changing environment with the most current knowledge and technology.	Graduates will have the ability to act ethically and consistently with integrity and high moral standards in their professional endeavors.
Research activities and published research papers by undergraduate students (published research)	**Published Research** **Skills-oriented & Holistic Evidence**	**Published Research** **General skills coverage & Holistic Evidence**	**Published Research Day** **Skills-oriented & Holistic Evidence**	**Published Research** **General skills coverage & Holistic Evidence**	**Published Research** **General skills coverage & Holistic Evidence**	**Published Research** **Skills-oriented & Holistic Evidence**	**Published Research** **Skills-oriented & Holistic Evidence**
Annual Research Day: Students research poster competition	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**	**Annual Research Day** **Skills-oriented & Holistic Evidence**

Institution-wide learning outcomes							
Internship or practicum	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**	**Internship** **Skills-oriented & Precise Evidence**
Standardized tests	**Standardized tests**	**Standardized tests**	**Standardized tests**	**Standardized tests**	**Standardized tests**	**Standardized tests**	**Standardized tests**
	Skills-oriented & Precise Evidence	**Skills-oriented & Precise Evidence**	**Skills-oriented & Precise Evidence**	**Skills-oriented & Precise Evidence**	**Skills-oriented & Precise Evidence**	**Skills-oriented & Precise Evidence**	**Skills-oriented & Precise Evidence**
National achievement tests (Progress Test)	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**	**Progress Test** **Skills-oriented & Precise Evidence**
Grade distribution analysis	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**	**General Skills Coverage & Holistic Evidence**
Learning Outcomes Assessment System (a computer system to assess and evaluate learning outcomes with links to exams questions and other types of assessments) (LOAS)	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**	**LOAS** **Skills-oriented & Precise Evidence**

Table 3.6.3.3.2 Indirect Assessment of Institutional Student Learning Outcomes (ISLOs/ Institution-Wide Learning Outcomes)

Institution-wide learning outcomes							
Domain/ Category of Institution-Wide Learning Outcomes	**Skills**			**Competencies/Values**			
	Communication Skills	Information Technology and Numerical Skills (Computation)	Critical Thinking and Problem Solving	Interpersonal and Responsibility	Professional Development (including Teamwork & Leadership)	Lifelong Learning	Integrity and Ethics
Los Assessment: Indirect Approach	↑	↑	↑	↑	↑	↑	↑
	Graduates will have the ability to communicate effectively both individually and	Graduates will have the ability to use modern technologies effectively and	Graduates will have the ability to reason logically and creatively and apply critical thinking and	Graduates will have the ability to maintain responsibility for environmental,	Graduates will have the ability to work effectively with others as	Graduates will have the ability to develop their capacity for personal career	Graduates will have the ability to act ethically

Institution-wide learning outcomes							
	as a member of a team by demonstrating mastery of reading, writing, speaking, listening, and presenting in a variety of styles and media.	employ computation skills to acquire information from different sources, investigate and solve problems and reach the right decisions.	scientific methods to explore facts, concepts, theories, and problems to make informed and responsible decisions and/or to pursue practical solutions for real-life problems.	economic, social, and personal concerns and use their disciplinary knowledge and professional expertise to serve the community and value their personal fulfilment in society.	a team member and/ or collaboratively with others as a team leader to accomplish tasks and achieve team goals.	progression and to remain at the leading edge in their discipline to respond to the challenges of an ever-changing environment with the most current knowledge and technology.	and consistently with integrity and high moral standards in their professional endeavors.
Final Year Program Evaluation Survey (PES)	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**	**PES** **Skills-oriented & Holistic Evidence**
Alumni Satisfaction Survey	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**	**Alumni** **Skills-oriented & Holistic Evidence**
Employer Satisfaction Survey	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**	**Employer** **Skills-oriented & Holistic Evidence**
Course & Instructor Evaluation Survey (CES)	**CIES**	**CIES**	**CIES**	**CIES**	**CIES**	**CIES**	**CIES**
	Skills-oriented & Holistic Evidence	**Skills-oriented & Holistic Evidence**	**Skills-oriented & Holistic Evidence**	**Skills-oriented & Holistic Evidence**	**Skills-oriented & Holistic Evidence**	**Skills-oriented & Holistic Evidence**	**Skills-oriented & Holistic Evidence**

3.6.4 Learning Outcomes Assessment System (LOAS)

AU recognized three key elements to successful course-level assessment:

1. Establishing course learning outcomes and objectives for the course
2. Measuring whether these outcomes have been met.
3. Using the results to improve teaching and learning in the course.

Faculty members at AU follow and implement the course specifications approved by academic programs. They assume responsibility for formative and summative evaluation with the goal of enhancing each student's chance of success in each course accomplishment and, eventually, in the program's overall accomplishment.

3.6.4.1 Formative and Summative Assessment

Performance is most often analyzed through formative and summative assessment. Formative assessment is ongoing and provides information needed to adjust teaching and learning for a more effective outcome. It not only helps to monitor student progress throughout an activity but can also measure student progress, achievements, and readiness to proceed to further tasks. Alternately, summative assessment focuses on a particular point in time, such as a test at the end of a unit or grading term. Regardless of whether the immediate assessment is formative

or summative, a faculty needs to be able to distinguish between the capabilities of the tool and the students' performance using it. To illustrate, many can easily produce a visually stunning and multimedia presentation using PP as it has built-in easy-to-use professional effects. Therefore, to assess a multimedia presentation effectively, the faculty needs evidence of the thinking that went into the creation of the presentation/project. Rather than grade the end product, educators must focus on the process -- research, writing, media and image selection, etc. This allows faculties to focus on learning throughout the whole project rather than the flashy, finished product.

Faculty members, therefore, use a range of assessment measures, including quizzes, assignments, reports, case studies, projects, student portfolios, and mid-term and final examinations, in order to obtain a clear picture of what students have learned; utilizing this variety of methods also avoids the potential weaknesses of applying a single form of assessment. In all courses, assessment is always based on course learning outcomes. A computer system was developed, the so-called AU-Learning Outcomes Assessment System (LOAS) that supports an on-going process of assessment and improvement in terms of learning outcomes.

Assessment at the course level is supported by rubrics and the questions are constructed to formulate learning progress based on Bloom's Taxonomy of Cognitive Domain from lowest to the highest as shown in Figure 3.6.4.1.1 and Table 3.6.4.1.1.

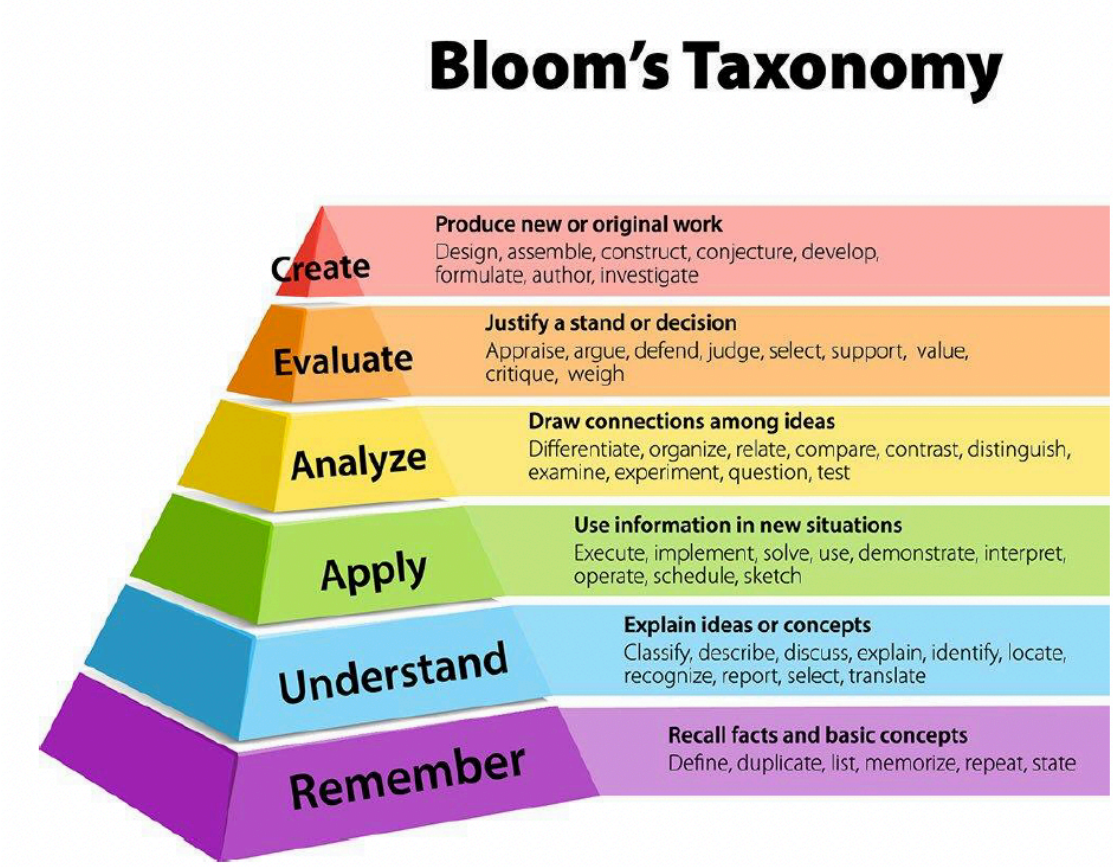


Figure 3.6.4.1.1 Bloom's Taxonomy of Cognitive Domain from lowest to the highest.

Table 3.6.4.1.1 Sample questions constructed to formulate learning progress based on Bloom's Taxonomy of the cognitive domain.

Sample of Student Learning Outcome **Graduates will act ethically with moral standards in their professional and personal life.**	
Questions: To assess the progress of students learning outcomes based on Bloom's Taxonomy of cognitive domain from the lowest (simplest) to the highest (more advanced):	1. Students will be able to list principles of ethics in a specific and professional setting 2. Students will be able to interpret ethical phenomenon and extract ethical conflicts from scenarios of virtual or real cases 3. Students will be able to apply ethical standards in virtual job settings 4. Students will be able to analyze ethical conflicts on a job setting 5. Students will be able to establish and evaluate ethical standards in a new job setting 6. Students will be able to evaluate and critique ethical misconduct in job setting

The approach to student assessment at AU is undergoing a transformation. This shift focuses on integrating the evaluation, assessment, and enhancement of learning outcomes into all course descriptions. Consequently, assessment methods are being adapted to encompass the wider range of student learning outcomes. Several programs at AU have already begun implementing these changes successfully.

At the beginning of each semester, each faculty member submits a course syllabus (which is extracted from an approved course specification) comprising information about course learning objectives, prerequisites, description, content, assignments, textbook, readings, evaluation procedures, teaching methods, grading standard, faculty's office hours. This information is given to students and included in faculty member’s course portfolios.

At the end of the semester, faculty members submit the grades and copies of their quizzes and exams to program directors. All teaching staff members are required to fill in course reports at the end of each semester for all courses they have taught. The report includes course details, showing the latest updates of its different entries. It should be accompanied by documents such as course outlines, samples of examination papers, other assignments, and/or term papers to form the so-called course portfolio.

The most fundamental level of student learning is at the course level. The course assessment focuses on the student achievements related to the planned course learning outcomes. Each course has specific course learning outcomes (CLOs). It is the learning outcomes from individual courses when combined and aggregated with other courses in the curricula that enable students to achieve the program learning outcomes (PLO/PSLO) and eventually aggregated at a higher level to form the so-called institutional student learning outcomes (ISLOs). Final course level assessment is the responsibility of individual faculty members which is normally collected and approved by the QA committee at the college and program level.

Each course is assessed through various assessment tools (which may include written exams, homework, projects, presentations, capstone courses, projects, student portfolios, quizzes, assignments, mid-term exams, final exams, simulations, and other assessment practices). Learning outcomes at the course level are assessed gradually using specific rubrics in a continuous process to build an overall picture up to the final exam.

Furthermore, theoretical and practical courses are assessed differently, but all assessments take place according to the general framework set by the University. Internships and graduation projects or field training are evaluated in a way that fits their nature; they are implemented according to a set of report forms designed by the concerned program and college.

A faculty member participates in the course-level assessment through teaching and using assessment tools suitable to the learning outcomes sought by the assessment. Using the Learning Outcomes Assessment System

(LOAS) allows faculty to align the assessment tool with the learning outcomes and to measure it efficiently. Similarly, general requirements courses may need the involvement and participation of a group of faculty members, and they still can use the system (e.g. communication skills).

To assess the achievement of a particular course learning outcomes (CLOs), an electronic special spreadsheet is introduced as part of the Learning Outcomes Assessment System (LOAS) as shown in Figure 8.5. The LOAS automatically performs an analysis of the assessment tools used combined with the corresponding assessment results (marks) obtained, which are then scaled and plotted against the set of learning outcomes taught and assessed. The system provides a clear overview of the levels of achievement of CLOs. Also, it triggers faculty attention where actions are needed for course improvements if not achieving a satisfactory level based on pre-defined Performance Standards of the Learning Outcomes (scales of achievement of learning outcomes) shown in Figure 3.6.4.1.2 This approach gives faculty members a chance to gradually follow up students' success in the achievement of learning outcomes. Courses are assessed against pre-defined criteria of threshold called (Learning Outcomes and Performance Standards) which represent the level of achievement of learning outcomes.

- This spreadsheet is characterized by its ability to calculate the level of achievement called the weighted average of each of the learning outcomes against the appropriate evaluation and assessment method used.
- The LOs achievement level is compared against a special classification scale (Demonstrated, Partially Demonstrated and Not Demonstrated (Critical))
- Results are calculated automatically and presented graphically as shown in Figures 3.6.4.1.2 & 3.6.4.1.3 for QA improvement, strengthening LOs achievement, and avoiding weaknesses (this is the old five domains of Learning Outcomes). A new LOAS system was developed to recognize the new NQF three domains learning outcomes as shown in Figure 3.6.4.1.4.

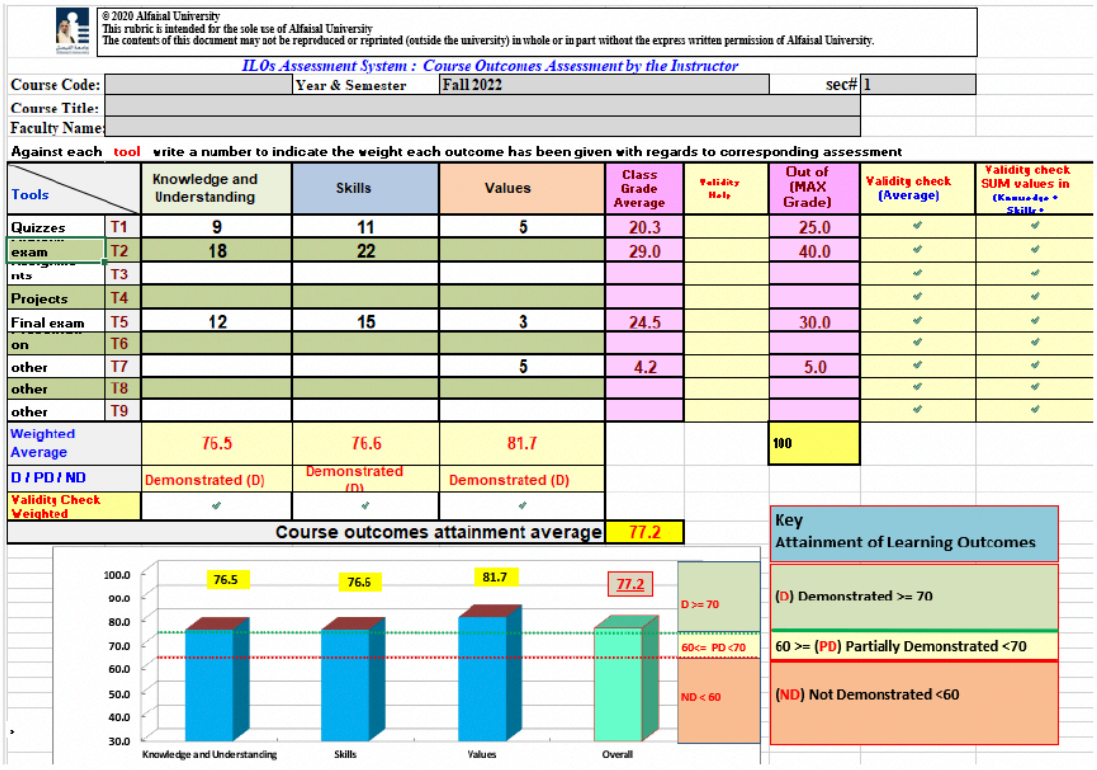


Figure 3.6.4.1.2 Sample of the electronic spreadsheet developed as main component of the Learning Outcomes Assessment System (LOAS)

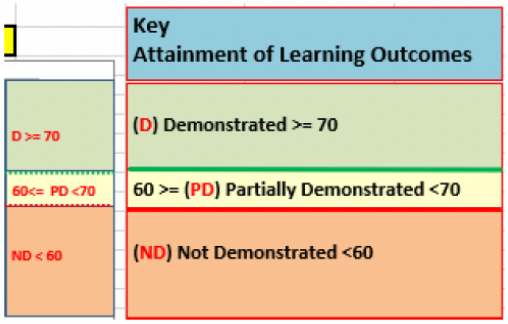


Figure 3.6.4.1.3 Learning Outcomes and Performance Standards (pre-defined scales of the levels of achievement of learning outcomes).

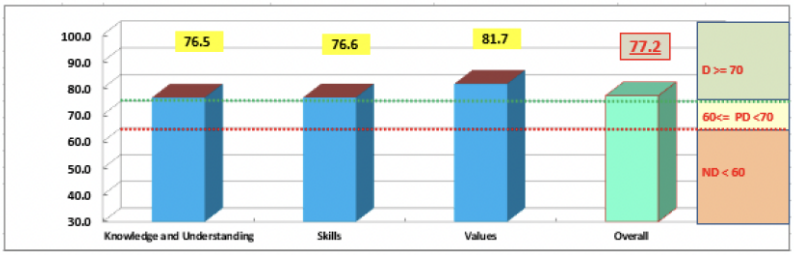


Figure 3.6.4.1.4 Sample from graphical presentation of the level of achievements of LOs at course level using AU-learning outcomes assessment system (LOAS) based on the new SAQF three domains learning outcomes.

In alignment with the University's Quality Improvement Plan, Alfaisal University is committed to continuously developing its "Learning Outcomes Assessment System (LOAS)". This system, currently used across colleges and programs, is installed on all faculty computers for convenient access.

The AU curriculum introduces students to a set of learning outcomes. Students then will be assessed, both in their major coursework as well as in the assessment framework to determine the extent to which they have achieved success in meeting the outcomes. These core competencies will affect what students do not only within their program, but also in their professional and personal lives. The student will acquire, practice, apply, and become proficient in many of the core competencies and skills. This independent assessment stresses to students the critical importance of the university learning outcomes to their overall success as students, graduates, and professional practitioners.

Learning outcomes assessment is an ongoing process of collecting, analyzing, and interpreting data on student learning to improve curriculum and instruction, and ultimately enhance learning outcomes. Assessment requires explicitly defining the intended learning outcomes for each course (through course specification) across all programs.

Faculty members, with their expertise in curriculum design, student assessment, and subject matter, hold primary responsibility for ensuring the achievement of learning outcomes. The tasks of assessment should be shared so as not to be burdensome to faculty. The results of the assessment should be discussed by the faculty members as a group, with the goal of improving curriculum and instruction.

Achieving Student Learning Outcomes (SLOs) comprises one of the most important factors in the success of any academic program. Indeed, as long as the academic program has goals and objectives, attention must be paid to the effective delivery of LOs and to the availability of suitable teaching strategies and assessment methods to measure the level of achievement of such LOs.

Assessment is a continuous process that is used to assess the student's progress towards completion of courses and towards graduation. The assessment of academic achievement, overall and in content courses, is measured by course grades and their breakdown among various assessment tools. In all courses, AU's assessment is always based on course outcomes. Therefore, the QAA assessment plan assesses the level of achievement of the learning outcomes in two ways: bottom-up and top-down. The top-down approach is already explained using AU's Evaluation Framework and all types of evaluations and satisfaction surveys. In the bottom-up approach, we start from the courses moving toward the SLOs at the program level. This provides a clear measure of the LOs, so a variety of course grades are considered in this process. These include the following grades: homework assignments, class projects, presentations, mid-term exams, quizzes, and final exams.

This system provides an innovative approach to assess the level of LOs achievement. That means it guarantees that educational pedagogy of course delivery and assessment employ an outcome-based approach. The system obtains a clear understanding of what students have learned, and avoids potential biases or weaknesses in other assessment instruments. Results are then analyzed, and an iterative course improvement process continues until results validate that the learning outcomes are met.

3.6.4.2 Upward analysis of outcomes

It is very important to examine the intended learning outcomes of individual courses and other learning experiences to see how these correspond with the intended outcomes of the program and the institution as a whole. This activity shows the extent to which the curriculum, assessment methods and teaching strategies promote the attainment of the Student Learning Outcomes (SLOs) in an upward pattern starting from the course learning outcomes and moving upward to the program learning outcomes to the institutional learning outcomes. Therefore, all taught courses at AU's programs are subject to a process of assessment in terms of the attainment of the Learning Outcomes (LOs). This policy extends to various levels and groups per instructor, program, college, and the entire University (institutional level as explained in the assessment framework).

Assessment of Student Learning Outcomes among the three tiers of the assessment framework is based on the linkage and mapping between the three levels course level, program level, and institutional level as shown in Figure 3.6.4.2.1

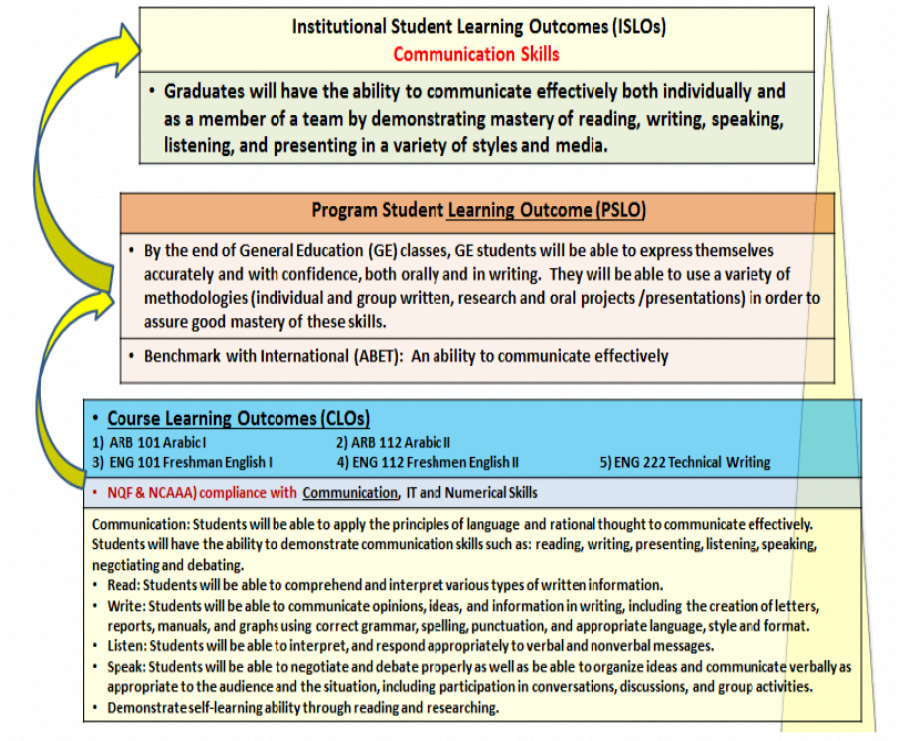


Figure 3.6.4.2.1 Schematic diagram of communication skills assessment in upward pattern

Application of LOAS in assessing the level of achievements of communication learning outcomes revealed encouraging results as shown in Figure 3.6.4.2.2 The levels of achievements of the learning outcomes for (communication skills) using the computer system (LOAS) indicate that all courses are above 70 (Demonstrated LOs).

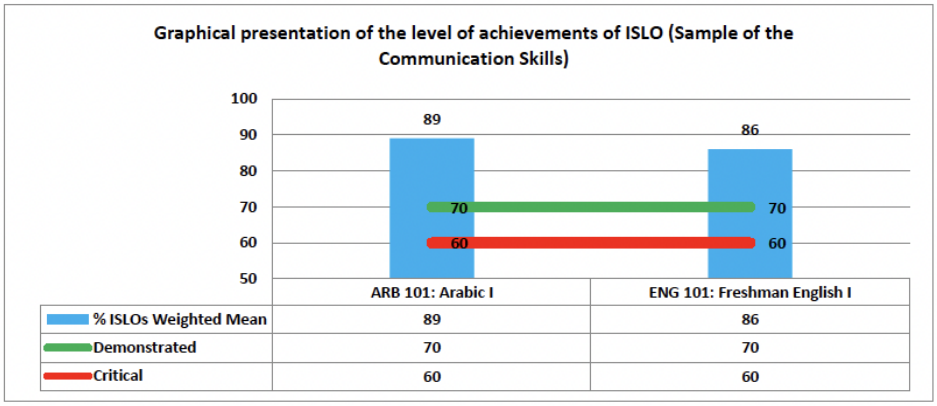


Figure 3.6.4.2.2 Graphical presentation of the level of achievements of (Sample of Communication Skills) using the LOAS.

After collecting and analysing all courses of a particular program, the level of SLOs achievement can be then compared and benchmarked against other courses of different programs on a unified form across the board on a higher aggregate level (i.e. moving upwards and benchmark courses at program level then at the college level) to reach the institutional level as shown in Figure 3.6.4.2.3 In the same way, the level of achievements of learning outcomes at the three levels of the assessment framework (courses, programs and institutional) must be calculated and analysed.

For example, based on the per-defined threshold, if a learning outcome weighted mean is above 70, it means that LOs are achieved and demonstrated. For more details of the level achievement of learning outcomes.

Then the University must provide evidence and a year-by-year trends analysis of the Institutional Learning Outcomes and Competencies.

How the LOAS works in upward pattern?

The assessment starts collecting data at the course level.

Next, apply grouping and aggregation of all courses classified per/program.

Then apply grouping and aggregation of all programs classified per/college.

Finally, aggregation of colleges LOs will form the achievement of learning outcomes at the university level as follows:

Key:

If value of calculated LOs greater than or equal GREEN threshold >= 70

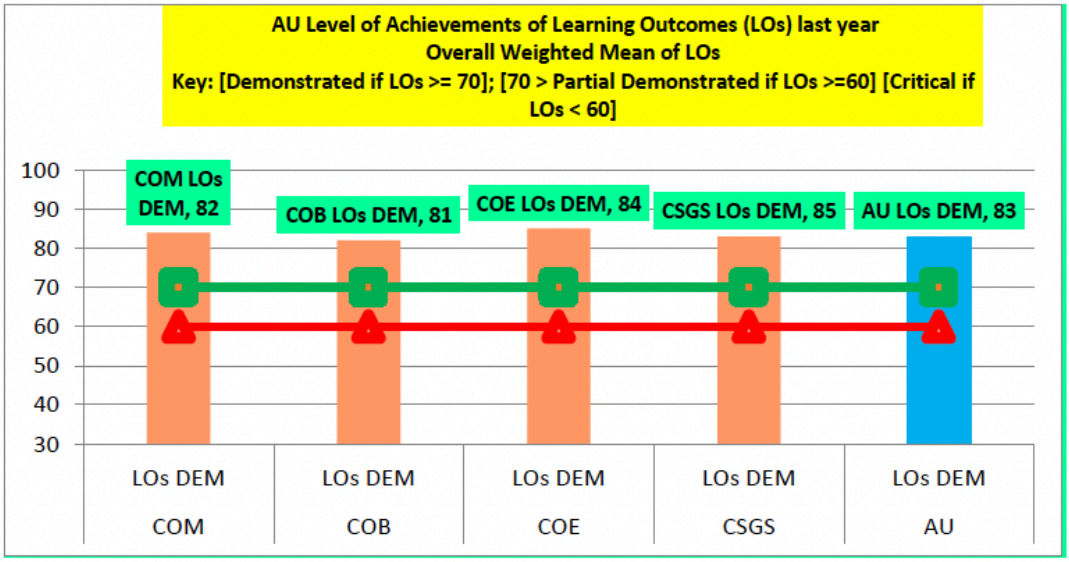
→ then LOs classified as Demonstrated.

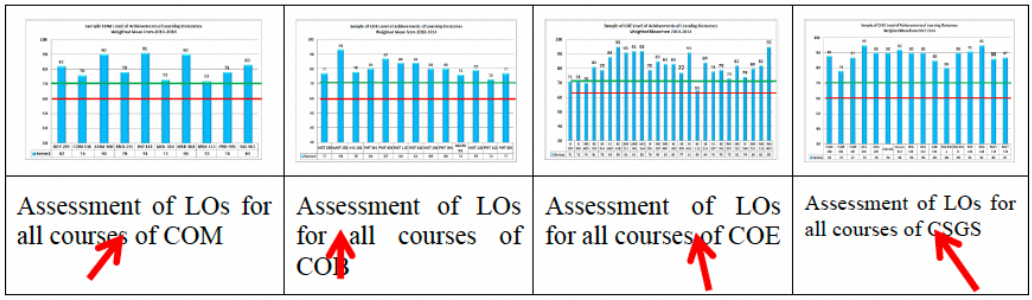
If value of calculated LOs between RED threshold and GREEN threshold [>= 60 and < 70]

→ then LOs classified as Partial Demonstrated.

If value of calculated LOs less than RED threshold [less than 60]

→ then LOs classified as Critical and this trigger urgent intervention by the faculty member, program director and the corresponding quality unit.





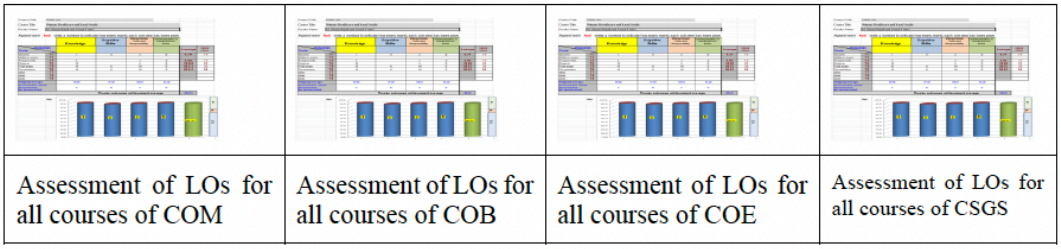


Figure 3.6.4.2.3 Schematic view of the assessment framework to show how the lower level feed the higher level in calculating the achievement of learning outcomes (sample from the assessment of learning outcomes for last year

3.6.4.3 Evaluation of the Graduates Employment Status

Mechanisms shall exist to enable a proper evaluation of the graduates' employment status. AU, through the placement office, must conduct a periodical study every academic year to investigate AU's graduates who within six months of graduation were employed and/or enrolled in further study or unemployed. These results had significant impacts on the development of new programs and the improvement of established majors and study plans (if necessary).

3.6.4.4 Annual Faculty Performance Evaluation

AU, as a higher education institution, as stated in its mission, greatly value highly effective instructors in addition to highly active researchers and service providers. All AU's faculty members are evaluated and shall continue to be

evaluated on their previous year's performance with the performance criteria on which they are judged being clearly specified; these criteria have been published on the faculty handbook. A standard form, Faculty Activity Report (FAR) is used for performance evaluation and is completed annually by faculty members. The FAR is submitted to the Chair of Department and Dean for evaluation. The Chair of Department and Dean then scrutinized the report and evaluates it against all information available (e.g., teaching evaluations, research, service, etc.). The report signed and amended with appropriate recommendations and sent to the President office for further actions. This mechanism is aimed at encouraging faculty members to improve, and to promote good and effective practice in teaching, research, and community services. The process is confidential, but faculty members have the right to see their report and to complain formally if they are not satisfied.

A. **Monitoring of Teaching Quality (Peer Review)**

In addition to various types of evaluations and satisfaction surveys described in this Manual AU introduced a policy on the monitoring of teaching quality (Peer Review):

"*The Head of a Department or Dean, as appropriate, should arrange for at least one colleague to attend and evaluate at least one lecture given by any new member of the academic staff and an established member of the faculty whose student evaluation for a semester is 3.75 or less. The purpose of this review is to appraise the delivery of the lectures, organization, and the use of lecture room hardware as a means of improving the overall quality of the educational delivery at Alfaisal University. Upon the Head of a Department or Dean's recommendation, the review may be extended to evaluate a faculty member's professional development as well as syllabi, course specifications, course reports, exams, and other aspects of instructional design and assessment.*

The reviewer(s) will prepare a written report to be submitted to the Chair of Department or Dean, who will in turn, discuss the report with the lecturer. A record of this review will be kept in the departmental or college files for any future reference"

AU's faculty is responsible for the curriculum and instruction. One important indicator of the quality of teaching is the quality of the instructional faculty so it should be noted that at least 80% of full-time faculty members hold doctorates,

B. **Course Portfolio**

Perhaps the best way to ensure that quality teaching is recognized, valued, and rewarded is to improve the means of identifying and documenting teaching effectiveness. Course portfolios afford a comprehensive yet efficient means of documenting the intellectual work of teaching a particular course. Through such a portfolio, faculty members document the design and execution of a particular course, including results in student learning. In this way, teaching can be understood and presented as a form of scholarship, utilizing the accountability through peer review that already exists in higher education. A course portfolio can be useful as an instrument for exhibiting teaching effectiveness, a crucible for cultivating scholarship, and a vessel for conveying one's work to appropriate publics, including promotion and tenure committees.

Specifically, the following items are a part of the Course Portfolio:

1. Course Specifications and Course Report
2. Assessment of ILOs
3. Teacher Notes
4. Samples of Graded Work
5. Syllabus and Course Outline
6. Attendance
7. Midterms and Final Exam Keys
8. Grade Distribution Histogram
9. Independent Evaluator Form

3.7 Quality Roadmap

3.7.1 Quality Schedule

This schedule would help colleges and the Vice Deans for Accreditation and Quality Assurance to pursue academic quality procedures and collect the necessary evidence/documents.

Roles:

Dean: The verification and the completion of tasks and procedures related to quality on a timely basis.

Vice-Dean (QAA): Following up on the implementation of quality assurance tasks and procedures of the programs, providing the necessary support to the representatives, and compiling documents and evidence of all the procedures.

Chair of Department: Responsible for the completion of the tasks and procedures described below in the section and submitting them to the Vice Dean (QAA).

Quality Supervisor/Specialist: The quality representative of each academic program, in coordination with the Program Director, will perform these tasks and provide the necessary support and communication with the head of the quality in college.

Weeks	**Actions**	**Responsible**
Pre-semester Week	The chair of the Department assigns course instructors and coordinators for all the courses offered by the department.	Chair of Department
	The Chair of the Department needs to schedule a Department Council meeting and discuss the following: • Semester preparations • Teaching assignments/loads • Review previous semester/year course reports for appropriate actions needed for continuous improvement	Chair of Department/ Department Council
	The Chair of the Department should meet with faculty members to discuss course and instructor evaluation and plan training sessions.	Chair of Department
	Orientation for new faculty members and ensure they have access to the Learning Management System (Moodle) and Student Information System (Banner).	Chair of Department
First Week	Course Syllabus and Course Specification (CS) should be updated and uploaded to LMS.	Faculty members under the supervision of the Chair of the Department and head of QA in the college
	Student orientation, meetings with the students to discuss program requirements, and expectations, and help them with any arising issues.	Program Director and College
	Ensure that the reference books mentioned in the course syllabus or CS are available and accessible to students through the department or library.	Course Coordinator/ Instructor
	Course syllabi, course schedules, and office hours should be announced and posted.	Faculty members under the supervision of the Chair of the Department
Second Week	Assigning academic advisors to all new students.	Program Director and College
	Discuss learning resources and counseling services available to students.	Faculty members, and Program Director
	Validation of course portfolios of the previous term. Submits progress to the head of QA in the college.	QA Committee, Chair of Department, and head of QA in the college
	Faculty members provide a list of research projects to be shared with students.	Research Coordinator and Program Director
Fourth Week	Course portfolios are validated and submitted to the Department of Accreditation and Quality Assurance (DAQA)	Head of QA in the college
	Program Director/Chair of the Department coordinate with faculty members to prepare program's annual report (APR) and collect the required data.	Program Director/Chair of Department

Sixth Week	Program annual report, recommendation, and action plan are submitted to the department council for review and approval.	Program Director/Chair of Department
Eighth Week	APR, recommendations, and action plans are discussed at the College Council.	Program Director & Head of QA in the college
	Approved APR is submitted to the Department of Accreditation and Quality Assurance (DAQA)	Head of QA in the college
Tenth Week	Departments should conduct Peer-Review evaluations for new faculty members or those with evaluations below 3.75 on a five-point scale as per the AU follow-up policy.	Chair of Department
	The Chair of the Department sets a meeting to discuss mid-term exam results with faculty members to identify the strengths, and areas for improvement, and discuss action plans for improvement.	Chair of Department
Twelfth Week	Quality internal audit for all colleges of AU	Department of Accreditation and Quality Assurance
	Send out evaluation surveys (CIS, SES, PES)	Department of Accreditation and Quality Assurance
Fourteenth Week	The chair of the Department prepares the final report of the training sessions attended by faculty members.	Chair of Department
	Preparation for final exams.	Faculty members/ Chair of Department
	Scheduling presentations or defense for students' graduation projects and thesis.	Faculty members/ Chair of Department
Final Exam Weeks	Follow up the progress of the final exams, review and approve grade distribution	Chair of Department
	Faculty members upload approved final grades into the SIS.	Faculty members
	Faculty members complete his/her Course Portfolio.	Faculty members

Appendices

Appendix 1 – Glossary

Accreditation: The process by which a recognized body evaluates and verifies that an educational institution or program meets certain predetermined standards of quality and integrity.

Accreditation Visit: A site visit conducted by an accrediting agency to verify an educational institution or program's compliance with accreditation standards.

Annual Faculty Performance Evaluation: A systematic evaluation process conducted annually to assess faculty members' performance based on predetermined criteria, aiming to promote teaching, research, and service excellence.

Assessment Cycle: A systematic process of ongoing assessment, data collection, analysis, and improvement efforts aimed at enhancing the quality of teaching, learning, and academic standards.

Assessment Framework: A structured approach for evaluating student learning outcomes, including establishing clear learning objectives, determining assessment criteria, and systematically gathering, analyzing, and interpreting evidence to inform decision-making and enhance educational quality.

Assessment of Learning Outcomes: The systematic evaluation and measurement of the extent to which students have achieved the intended learning outcomes, typically through various assessment methods such as exams, projects, portfolios, etc.

Annual Review: A process in which an educational institution or program evaluates its performance over the past year, identifies areas for improvement, and develops plans to address those areas.

Benchmarking: A process of comparing the performance of an educational institution or program against industry standards or best practices.

Closing the Loop: The process of using assessment results to inform curriculum improvements, pedagogical enhancements, and program modifications to achieve continuous improvement in teaching and learning.

Compliance: The degree to which a higher education institution or program adheres to established standards, regulations, policies, and accreditation requirements, often verified through formal audits, assessments, or reviews.

Continuous Improvement: A cyclical process of ongoing self-assessment, review, and enhancement aimed at identifying areas for improvement, implementing corrective actions, and optimizing the quality and effectiveness of higher education programs and services.

Core Values: The fundamental beliefs and principles that guide the behavior, decisions, and actions of an organization or institution. They represent the deeply held convictions and ideals that define the culture and identity of an organization, shaping its priorities, norms, and interactions with stakeholders. Core values often serve as a compass for ethical conduct and decision-making, providing a framework for achieving the organization's mission and vision.

Course Learning Outcomes: Concrete and measurable statements describing the expected achievements or capabilities of students at the conclusion of a specific course or module.

Course Portfolio: Comprehensive documentation showcasing the design and execution of a particular course, including assessment of intended learning outcomes, teaching effectiveness, and student learning outcomes.

Course Specification: Detailed documentation outlining course learning objectives, prerequisites, content, assignments, evaluation procedures, and teaching methods, ensuring alignment with program objectives.

Curriculum Development: The process of designing, implementing, and evaluating the content, structure, and delivery methods of educational curricula to meet the needs and objectives of students and stakeholders.

Direct Assessment Measures: Evaluation methods that directly measure tangible, observable products of student learning, such as exams, quizzes, assignments, and projects, providing evidence of student performance and mastery of learning outcomes.

Evaluation: The systematic and objective assessment of an educational institution or program, including its strengths and weaknesses, to determine its overall quality.

Formative Assessment: Ongoing assessment aimed at providing feedback to adjust teaching and learning strategies for improved outcomes, monitoring student progress, achievements, and readiness for further tasks.

Graduate Attributes: These are the qualities, skills, knowledge, and competencies that a student is expected to have acquired upon completing a particular academic program or course of study. Graduate attributes typically encompass a broad range of intellectual, personal, and professional capabilities that prepare individuals for success in their chosen careers and contribute to their overall development as well-rounded individuals.

Indirect Assessment Measures: Evaluation methods that gather information on perceived student learning from various perspectives, such as surveys, interviews, and focus groups, providing insights into students' perceptions, attitudes, and values regarding their learning experiences.

Institutional Learning Outcomes: Broad educational goals and competencies that reflect the overarching mission and vision of the institution, guiding the development of curricula and educational programs.

IRQCI: Institutional Research and Quality Cycle for Improvement (IRQCI), which is a structured process within the institution aimed at enhancing quality and effectiveness in teaching, learning, and research through continuous assessment, feedback, and improvement initiatives.

IQS: Internal Quality System , which is the internal mechanisms, processes, and procedures established within an educational institution to ensure and maintain quality standards, encompassing policies, practices, and resources for quality assurance and improvement.

Key Performance Indicators (KPIs): Measurable values that demonstrate how effectively an educational institution or program is achieving its goals and objectives.

LOAS: Learning Outcomes Assessment System (LOAS), which is a system implemented at Alfaisal University to support ongoing assessment and improvement of learning outcomes at the course level, facilitating the establishment of course learning outcomes, measurement of outcomes achievement, and utilization of assessment results for enhancing teaching and learning.

Mapping: The process of aligning and correlating various elements, such as learning objectives, standards, or competencies, to ensure coherence, consistency, and alignment in educational planning, curriculum design, and assessment practices. Mapping facilitates the systematic organization and integration of educational components to support learning outcomes and achievement of educational goals.

Mapping of Learning Outcomes: The process of aligning and correlating learning outcomes at different levels, such as institutional, program, and course levels, to ensure coherence and consistency in educational objectives.

NCAAA: National Commission for Academic Accreditation and Evaluation, which is a regulatory body responsible for ensuring the quality and standards of higher education institutions and programs within a specific country. It evaluates academic programs and institutions against established criteria to determine their accreditation status, thereby ensuring accountability, quality assurance, and continuous improvement in higher education.

NQF: National Qualification Framework, which is a national framework that categorizes qualifications into levels based on learning outcomes, providing a standardized approach to classifying and comparing qualifications across different educational sectors.

Peer Review: A process of evaluating teaching quality through colleague observation and assessment of lectures, instructional design, and assessment practices to improve educational delivery.

Program Evaluation: A structured process of gathering, analyzing, and interpreting data to assess the effectiveness, efficiency, and relevance of an academic program. Program evaluation aims to identify strengths, weaknesses, and areas for improvement, ultimately guiding decision-making and enhancing program quality. It typically focuses on measuring outcomes, such as student learning, satisfaction, and achievement of program goals.

Program Learning Outcomes: Specific knowledge, skills, and abilities that students are expected to demonstrate upon completion of a particular academic program or degree.

Program Review: A comprehensive evaluation of an academic program's structure, content, delivery methods, and outcomes, often conducted internally or externally to ensure accountability and quality assurance. Program review involves assessing curriculum alignment, faculty qualifications, resources, and compliance with accreditation standards. It aims to provide a holistic view of the program's performance, identify areas for enhancement, and support continuous improvement efforts. Program review may be part of institutional quality assurance processes or accreditation requirements.

Quality Assurance: A set of systematic and continuous processes that ensure that educational institutions and programs meet or exceed established standards of quality and effectiveness.

Quality Governance Structure: The organizational framework and processes within an educational institution responsible for overseeing, implementing, and monitoring quality assurance initiatives and activities at various levels, including institutional, program, and departmental levels.

Quality Roadmap: A structured plan outlining quality assurance procedures and timelines for colleges and academic units, facilitating the pursuit of academic quality and evidence collection.

Rubric: A tool used to evaluate student work based on a set of predefined criteria, often used to assess learning outcomes or provide feedback on assignments.

Self-Study: A process in which an educational institution or program evaluates its own performance and effectiveness, identifies areas for improvement, and develops a plan for improvement.

Self-Study Report: A comprehensive document that provides an overview of an educational institution or program, including its mission, goals, objectives, and achievements, as well as areas for improvement and plans for improvement.

Stakeholders: Individuals, groups, or organizations with a vested interest or involvement in the operations, outcomes, or reputation of a higher education institution, including students, faculty, staff, administrators, employers, policymakers, and the broader community.

Standards: Established criteria or expectations that educational institutions and programs must meet in order to be accredited or recognized as meeting certain quality criteria.

Summative Assessment: Assessment focused on evaluating student performance at a particular point in time, such as the end of a unit or grading term, providing a snapshot of overall achievement.

Teaching and Learning Quality Cycle for Improvement: A component of the IRQCI (see definition above) focused on enhancing the quality of teaching and learning experiences through systematic evaluation, reflection, and enhancement efforts.

Transparency: The principle of openness, clarity, and accessibility in the processes, decisions, and communication related to quality assurance, accreditation, and academic governance, promoting accountability and trust among stakeholders.

Triangulation of Assessment Methods: The integration of multiple assessment measures, both direct and indirect, from diverse sources to provide converging evidence of student learning and enhance the validity and reliability of assessment findings.

Verification: The process of confirming that an educational institution or program has met the established standards of quality and integrity and is therefore eligible for accreditation or recognition. It typically occurs as a part of the initial accreditation process or during a periodic review.

Social Responsibility Department

Social Responsibility & Community Partnerships -SR001

Policy Code
SR001
Department/Office
University Council
Approved By
H.E. Mohammed Alhayaza Chair of University Council
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Executive Summary

Alfaisal University aims to contribute to the establishment of a sustainable society on a global scale and a local level, it aims to assist in solving the human, social, economic, and ecological problems of the region in which it is located, and to improve the general welfare of the community and the region through projects to be carried out within the framework of Social Responsibility.

The University undertake the task of educating and shaping the "human being" as a social entity, while producing the scientific knowledge required for this, contribute to the good citizens and profession by the knowledge they produce, by transforming this information into behavior in the next step, also aims to play a complementary role by influencing demographically, economically, and socio-culturally the regions in which they are established locally.

For the sustainable and better world at the local and global scale, academy must open the added value that it produces to the society. With this understanding, Alfaisal University aims to contribute to the creation of a livable society at the global level; contribute to the solution of humanistic, social, economic, and ecological problems of the region where it is located, and with the works that can be carried out within the framework of Social Responsibility, the good of the society and the region.

Policy Purpose

1. Statement of Purpose & Applicability

This policy explains the policy, procedure, and requirements necessary for the development and processing of all Social Responsibility Department related issues/ matters at all levels of Alfaisal University This policy will apply to concerned units, faculty, staff and students and other stakeholders involved in processing Social Responsibility Department matters.

2. Overview of Social Responsibility Department & Statement of Commitment & Goals

Alfaisal University is committed to Social Responsibility as an integral part of its mission to provide quality education and contribute positively to society. This commitment extends to ethical practices, community engagement, environmental sustainability, and more. The university recognizes its responsibility to balance economic success with social and environmental concerns. It is dedicated to upholding the highest ethical standards and sustainability principles in all its activities. Alfaisal is committed to promoting responsible business practices, respecting human rights, and minimizing our environmental footprint. Alfaisal's Social Responsibility Department initiatives aim to benefit not only the institution but also the local community and the world through identifying the most relevant Sustainable Development Goals (SDGs) and integrating them into its strategy and operations. The institution is setting clear and measurable goals, aligning them with the vision and mission, and embedding them into its policies, processes, and practices. The Department is committed to communicating Alfaisal SDGs commitments and progress to stakeholders and reporting on the impact and outcomes. Aligning with national and international frameworks to guide reporting and disclosure.

Department goals are multifaceted and include but are not limited to:

- Reduce the environmental impact through sustainable practices.
- Fostering a culture of ethics, diversity, and inclusion within the university to be respected as a leading international provider of higher education, lifelong learning and continuing professional development related to engaging with global issues to contribute to the economic, social, cultural, and environmental development of KSA and the world.
- Integrating Departmental principles into academic and research endeavors to maximize the contribution of our knowledge, skills, research, and expertise towards influencing and realizing our objectives while simultaneously benefiting society.

- Equip student & staff to realize their full potential as direct contributors to the success of the University and to engage in community development, education, and health initiatives and other activities relating to social responsibility and sustainability.
- Provide a modern, efficient, and stimulating working and learning environment to sustain world-class academic and support activities aiming to produce graduates fully equipped to achieve the highest personal and professional standards.
- Embed equality, diversity, sustainability, and social responsibility as fundamental principles, manage our physical infrastructure and the procurement of goods and services in ways that maximize efficiency and effectiveness while minimizing social, environmental, and other risks.
- Collaborate with other organizations to share our expertise and develop best practice in addressing Social Responsibility - and make explicit as an exemplar for the University community and others globally and locally - a whole-institution approach to social responsibility.

3. Governance and Oversight

3.1 Stakeholders Engagement, Communication & Identification

This is the most important, rewarding, and challenging part of applying social responsibility, as the success of social responsibility at the university depends on the successful completion of this section. Stakeholder identification and engagement are central to addressing Alfaisal' s Social Responsibility, through communication with them to establish channels for exchanging knowledge, suggestions, complaints, and ideas for solutions. The goal is to build trust and credibility for the long term, not to find "quick fixes" for problems.

The Social Responsibility Department Stakeholder Representatives are set up to make sure that all related activities of their unit with employees, communities, and local authorities are monitored and coordinated with for effectiveness and feedback. Furthermore, additional goals are to maintain up to date record of this policy and procedure efficiently; up to date list of stakeholders and their representatives who are assigned and approved by their leaderships e.g., Existing deanships, departments, centers, and students' clubs related to Social Responsibility and sustainable development i.e., performing Social Responsibility programs and activities.

Social Responsibility Representatives of:

- College of Medicine
- College of Engineering
- College of Business
- College of Law
- College of Science
- College of Pharmacy
- Student Affairs Clubs and Associations
- Office of Research & Graduate Studies
- Department of Advancement
- Human Resources
- Facility
- Quality
- IT
- Alumni & Placement Relations
- Department of Sustainability & Strategic Planning
- Marketing Communications
- Finance Department
- AUEP

3.2 Responsibilities & Reporting Structure of the Social Responsibility Department

- Setting strategies, business policies, procedures, processes, and standards & criteria.

- Develop a regulatory and institutional framework that organizes university's efforts in achieving the Kingdom's Vision 2030.
- Link existing deanships, departments, and centers related to community service and sustainable development to the Social Responsibility Department.
- Align student clubs and associations addressing community services, community engagement, sustainability, and environmental topics with the department to boost the impact.
- Community services and partnership programs and initiatives of the university will be executed by the designated areas and documented as per Department direction based upon the Ministry of Education and any related requirements.
- Corporate social responsibility is responsible for contract/ agreement management requirements and activities in accordance with all Community Engagement and Partnerships regulatory, legislative, and good practice guidelines and the University's related policies and procedures.
- The department oversees the implementation of the University Social Responsibility works as per the agreed definitions and scope.
- All existing deanships, departments, and centers related to community service and sustainable development must report back to the University the status and implementation of different community partnerships and record all initiatives and projects via the Department.
- All units shall document efforts and their impact on the environment and community via Alfaisal SR Representatives for proper record keeping and reporting.

4. Ethical and Sustainable Practices

Alfaisal University is committed to ethical conduct and sustainability practices that include:

- Upholding a code of conduct for staff and students that emphasizes ethical behavior.
- Minimizing waste, conserving resources, and reducing energy consumption.
- Promoting fairness, diversity, and inclusion in all university activities.
- Supporting philanthropical and community service programs and initiatives

Alfaisal University adheres to the applicable laws and regulations of Saudi Arabia's internal policies and procedures and respects them. Alfaisal University shall understand and align with international applicable laws and regulations and the international codes of conduct such as the United Nations Global Compact, which guides our commitment to human rights, labor, environment, and anticorruption principles and respect them. The university maintains strict procurement and supply chain guidelines to ensure ethical practices. These include supplier evaluations based on ethical and sustainability criteria, and monitoring suppliers' adherence to ethical and environmental standards.

5. Community Service and Engagement

Alfaisal adopts the "service to the community" as a primary duty and field of activity to ensure that those who are produced in the campus reach the society, spread, and serve humanity in this way while they carry out education, research, social, cultural, artistic and sports activities. It develops measures and incentives in this direction. The university has social, economic, and ecological environments. The good, quality and sustainability of the environment directly affect the university. The University is a structure built on universal values and aims to contribute to the quality of humanity and life through its activities. It is the social and intellectual responsibility of the university to make a sustainable contribution to society, disadvantaged groups, and ecological problems. Cooperation should be made with other actors that make up the community in the fields of education, research, and community service. Students are encouraged to learn by doing and serving, to reinforce what they have learned, to recognize relationships in the real sector and society, and to establish social networks.

The cornerstones of the community service shaped around these values are:

- The content of the community service strategy is based on regular and systematic feedback from internal and external stakeholders; It is updated regularly through the examination of good practice examples of world universities.
- Internal and external stakeholders' opinions are regularly gathered, discussed, evaluated, and resolved.
- The type, scope and method of community service and cooperation activities are determined by planning and needs analysis.
- The planning and management approach of the university is supported by the "**Plan, Do, Check Act**" cycle to continuously improve community service activities.
- Within the framework of the learning approach by doing and serving, students are encouraged by taking the necessary measures in the curriculum, support and orientation services and preparing the appropriate infrastructure.
- In community service, human rights, live rights, environmental rights, ethics, inter-individual differences, local culture, and values are fully respected without any hesitation. In case of violation of the rules of ethics or law, the sanctions to be imposed expressly declared.

5.1 Community Engagement & Partnerships Policies & Operational plans

Alfaisal, as part of its strategic priorities, engages with a wide range of community organizations and other institutions (external entities) within and outside KSA to help achieve its community service and partnership mission.

This policy applies to all local, regional, and international community partnerships established with external entities at Alfaisal. It applies solely to community partnerships of the University that are formalized through an agreement and executed in accordance with the University's governance framework and delegation of authority matrix.

Responsibilities include:

- The initiator of a given community partnership is responsible for identifying potential partners, evaluating all partnerships, and suggesting improvements into the process through which community partnerships are planned, implemented, and evaluated.
- A strategic alignment between the University Social Responsibility Department and community service and partnerships initiators inside the university is a must in negotiating terms of any relevant agreement to ensure that the policy principles and terms of reference within the scope of this document are considered and assessed potential risks that may be associated with such partnership.

Alfaisal realizes the value of community partnerships with external entities to realize its mission statement and strategic priorities and position itself nationally, regionally, and internationally. In negotiating and establishing community partnerships, AlFaisal should be guided by the following key principles:

- Alignment of the community partnership and proposed outcomes of the partnership with the strategic direction and values of AlFaisal
- Compliance with relevant local and institutional legislative and regulatory
- Requirements including NCAAA and relevant requirements by accreditation and classification governmental or non-governmental bodies.
- safeguarding the reputation of the university and its quality standards; this includes but is not limited to maintaining the quality and academic standards of programs designed or delivered through a community partnership.
- overall enhancement of the University's reputation and brand
- sustainability of the partnership and consideration of any potential risks

Initiators embarking on a collaborative arrangement should not underestimate the time and commitment required to develop a successful community partnership. The most successful collaborations are those where ongoing dialogue takes place with the proposed partner(s) to develop a common understanding on the role of each party,

how the partnership will be implemented, what resources and other commitments are required, what possible challenges or implementation issues may be faced and how to tackle them and how will the implementation of the partnership be monitored and assessed regularly by both parties.

5.2 Types of Partnerships, Evaluation, Renewal & Termination

Academic Cooperation includes but is not limited to:

- Joint program development
- program validation/ benchmarking partnership.
- joint, twin, or dual award arrangements
- student faculty and staff mobility including exchange programs.
- credit transfer.
- establishment of regional study centers
- Knowledge transfer activities
- Academic teaching program (exchanging faculty members between universities)
- Technology transfer program
- other hosting arrangements such as those that facilitate visiting staff or students,
- partner use of facilities (i.e., libraries, sport facilities, specialized laboratories, etc.)

A partnership involving research includes but is not limited to:

- Scientific research collaboration
- Scientific research fellowship program
- Students visiting the program.
- research student enrolment. r
- esearch funding.
- research collaboration/projects.
- hosting visiting researchers.
- research training, knowledge, and expertise sharing.
- data sharing
- Facilities and equipment sharing

Local or Regional Community Partnerships refer to a formal arrangement that the University establishes with local or regional organizations that are not within the High Education sector. The aims of such partnerships may be to support national or regional developments through contributions to cultural, economic, sporting, and related activities and build higher education aspirations and awareness. Government Partnerships refer to formal arrangements with government bodies in KSA. These could cover a range of activities including but not limited to training, community activities, and research. Each community partnership agreement will vary depending on the nature and scope of the agreement, the roles & responsibilities and location of the partner. Such contractual agreements are developed by the University Social Responsibility Department in collaboration with the legal department and in coordination with the university initiators and or the external partners.

Any member of the senior management (academic or administrative), faculty or staff member may propose the establishment of a community partnership with an external entity in accordance with the principles listed in this policy. These are usually referred to as "partnership initiators". The initiator when proposing a new partnership with an external entity must demonstrate the value of the proposed partnership,the expected outcomes of the partnership, the resources implications to realize the proposed partnership and the appropriateness of allocating such resources to the proposed partnership proposal should be prepared and approved by the line manager before being presented to one or more of the following governance bodies of ALFAISAL for consideration Deans' Committee for community related partnerships. The proposal for partnership must use the appropriate New Partnership Proposal Form. The initiator and various councils/committees must exercise due diligence in assessing the strategic, financial, operational, legal, and reputational risks associated with the proposed partnership. Once

the Committee/Council has endorsed the proposal for the establishment of the new community partnership for approval. Upon the approval of the proposal will be sent for approval to the University Social Responsibility Department who will send its recommendation to the University Council for final approval.

The initiator or CSR Department must assess the proposed community partnership to ensure the safeguarding of AlFaisal' s reputation and the quality of its programs and hence must consider. the following:

- Verifying the profile and reputation of the external entity
- ensuring adequate resourcing of the proposed partnership
- testing the feasibility and viability of the goals and objectives of the proposed partnership
- ensuring that the planned activities and intended outcomes of the proposed partnership consistent with the goals of the ALFAISAL Strategic Plan.
- Ensuring clarity on the roles and responsibilities of each party including aspects related intellectual property, copyrights, and ownership as applicable.
- Identifying any potential risk associated with the proposed partnership.
- Upon approval of the proposed partnership by the Rector in his capacity as the Chair of the University Council,
- The initiator, and the university social repobisiblity Department in collaboration with the legal department will develop the draft agreement to be shared with the external entity for further input; revisions may occur until a final version mutually agreed upon is reached.
- The agreement will then be signed by the authorized signatory person at Alfaisal based on the type of partnership.
- The signed agreement is added to Alfaisal community partnership register and copies of the signed agreement are maintained at the university social responsibility and the Deanship/ Department responsible for the agreement.
- If an agreement was prepared by the external entity, it must be revised and approved by both the University's Social Responsibility Department and the legal department prior to being signed.

The University Social Responsibility Department will provide an annual report on all activities undertaken as part of established community partnerships in the previous year. The report will include:

- Information on activities carried out as part of the community partnership (i.e., visits, exchanges, new programs established or existing one revises, new research projects, etc.)
- evidence of the continued strategic value of the community partnership to the University
- community partnership outcomes for the year in review
- financial performance (as applicable)
- any issues or challenges faced during the year of implementation.
- issues raised by the partners in relation to the University.

The renewal of a partnership is initiated by the initiators or the University Social Responsibility Department depending on the university available and approved template of agreement clauses. A review can take place earlier if specified in the agreement or if serious issues have been identified with the partnership. The following criteria to make a judgement on whether to recommend renewal of the partnership:

- Whether the rationale for the collaboration remains valid.
- Whether the partnership remains aligned with the ALFAISAL's strategy and mission.
- Whether the partnership retains appropriate academic, financial, and legal status.
- Whether the partnership (when of academic nature) has met and will continue to meet the appropriate academic standards and offer the appropriate learning, teaching, and student experience.
- Whether the partnership has operated in line with the terms outlined in the legal Agreement.

Termination of community partnership arrangement must be carried out in a manner that ensures the University's interests are protected, including the interests of students, and must be based on a clear rationale which is communicate transparently to the partner institution.

The University approved template will determine the process and accountabilities in relation to the termination of community partnership arrangements, considering any requirements of the relevant Partnership Agreement and consultation with the university dean/ director concerned with the partnership.

When making decisions on the termination of a partnership, the University will consider reaching out to students (in case of academic partnerships) and for legal, financial, and reputational implications to other areas of the University involved in the partnership, and to compliance with relevant regulatory and legislative requirements. All units shall document efforts and their impact on the environment and community via Alfaisal CSR Representatives for proper record keeping and reporting. As per the applicable reporting requirements.

5.3 University Volunteer Policies and Operational Plans

The university recognizes the need for balance among several factors: the desirability of volunteer service; the need to protect volunteer interests; and the need to minimize risk to the volunteer and the university, its volunteers, and the community it serves. This policy addresses the disparate issues you may encounter as you seek to engage university volunteers (see Definitions) and provides uniform procedures for screening and engaging volunteers. The responsibility for proper screening and engagement of volunteers rests with the units. This policy embraces and regulates formal volunteerism of All units of the university (that is, volunteering done through an organization or institution) provided that Alfaisal encourages informal volunteerism (that is, volunteer work done on an individual basis).

Objectives of the Voluntary Work:

- Spread the culture of volunteering in its various fields in innovative ways among students, faculty members, and administrative staff to apply it inside and outside the university.
- Engaging in work that matches the volunteers' preferences and desires.
- Good and useful investment of leisure time.
- Establishing an effective partnership between voluntary organizations and bodies.
- Developing the capabilities and talents of volunteers.
- Setting rules for participation in voluntary work within the volunteer teams.

Individuals who have unpaid academic appointments to the university are not considered volunteers when acting in that capacity. They are, however, permitted to volunteer their services according to the terms and conditions set forth in this document. University volunteers are uncompensated individuals who perform services directly related to the business of the university, to support the activities of the university, or to gain experience in specific endeavors. To qualify as a university volunteer, an individual must be willing to provide services according to the procedures in this policy. An individual who performs volunteer services for an entity that is not directly related to the business of the university (e.g., a government or public agency or an alumni association), is not considered a university volunteer for the purposes of this policy. However, an individual who performs volunteer services in the community on behalf of the university when there is no outside agency involved is considered a university volunteer. These situations may appear ambiguous. Whenever you are not certain as to whether an individual should be classified as a university volunteer, contact Corporate Social Responsibility for assistance.

Payment for volunteer services is not allowed. However, the university will reimburse university volunteers for actual and reasonable expenses, following standard university reimbursement guidelines. The university also allows an honorarium to be awarded to a university volunteer. An honorarium is not a payment for services or fee charged, but an award primarily intended to confer distinction or to symbolize respect, esteem, or admiration. The value of the honorarium must not be related to the performance of services.

Volunteers should not incur any personal expense on behalf of or in service to the University without the express written consent of an authorized University official in advance. Where express written consent has been given by an authorized University official in advance, the volunteer may be reimbursed for expenses in carrying out

assigned duties. Volunteers may be provided certain nominal and incidental benefits related to their service, such as admission to university events, food and beverage, or other privileges, as approved by their University Department.

A university volunteer is an agent of the university while performing assigned duties. Therefore, university volunteers are expected to abide by university policies and external regulations that govern their actions, including but not limited to those of ethical behavior, confidentiality, financial responsibility, and drug use. University volunteers are not covered by the Saudi Labor Law and are not considered employees for any purpose. Therefore, they are not eligible for any university benefits, including Worker's Compensation, because of this volunteer association.

The volunteer must know that their participation in volunteer activities does not have any financial rewards or benefits neither, from the organizer or the university, but they have the rights to which the organizer of the activity is committed to as the following:

- Show respect and appreciation to the volunteer.
- Offer the opportunity to utilize the volunteer's skills to achieve goals of the volunteering activities.
- Assign a supervisor to provide the volunteer with a clear description of their (his/her) actual tasks.
- Orient and train the volunteer according to the tasks entrusted to them.
- Provide a safe environment to participate in the volunteer activity by the event coordinator/supervisor.
- Accept or reject an electronic invitation to participate in an event.
- Withdraw from the event at least one week prior to the volunteering event start date.
- Document the volunteer hours, starting from the event preparation and according to his/her tasks in the event.
- Receive an appreciation certificate within two weeks of the volunteering event's end date.
- Obtain an electronic statement from NVG platform as wellas a certificate of participation from the event coordinator/supervisor.
- Maintain confidentiality of the information provided in the Volunteer's satisfactory survey.
- Issue a volunteer membership card to participate in the volunteering activity.

The volunteer must comply with the following obligations, failure to comply may lead to dismissal from volunteering activities:

- Create your personal profile at the National Volunteer platform for Alfaisal to consider you as part of its team in any project.
- Volunteers at the University of Alfaisal are expected to abide by all applicable University policies and procedures, posted notices and regulations, any confidentiality and nondisclosure requirements applicable to the information to which they have access. (which may require the signing of a confidentiality agreement), as well as any external regulations governing their actions.
- Volunteers at the University are expected to perform work and services in accordance with the University's non-discrimination policy and Student Code of Conduct.
- A background check may be required prior to certain volunteer service.
- Additional training may also be required.
- Volunteers are not considered employees of the University, nor are they covered by the Saudi Labor law or other employment laws through the University. Volunteers are not eligible for wages, employee benefits, workers' compensation, or unemployment benefits.
- A volunteer serves at the discretion of the University. The University may discontinue the service of a volunteer for any reason, at any time, without prior notice or cause.
- Adhere to Islamic ethics, good behavior, and wear decent appearance, show respect for others and teamwork.
- Reflect an honorable image of AlFaisal University when performing the tasks entrusted in the volunteering event.
- Review tasks and information provided in advance to the volunteering event.

- Do not take advantage of volunteering participation to achieve personal goals that may harm the interests of the university and its employees and others.
- Wear the appropriate outfit and identification card, which is provided by the coordinator/supervisor on the day of the event.
- Accept guidance in performing tasks and follow them accurately and proficiently.
- Seek the event coordinator/supervisor when experiencing difficulties or obstacles in performing the volunteering tasks.
- Oblige to the stated and agreed upon the volunteering participation timing during volunteering activity.
- Notify the event coordinator/supervisor as soon as you arrive to the event place or in case you need to leave the event for any reasons.
- Commit to be present at the volunteering event site as stated.
- inform the event coordinator/supervisor of your absence for any reason, to take necessary actions.
- Notify the event coordinator/supervisor about your withdrawal from the event at least one week prior to the volunteering event, and document reason for withdrawal electronically from your profile
- Respect the confidentiality and privacy of the volunteering activities information and do not disclose it until its implemented or directed by the supervisor.
- Do not release any press or media statements regarding the event without prior permission.
- Do not perform any commitments other than your assigned tasks to other parties during your participation in the volunteer event. Additionally, inform the coordinator/supervisor of any requests related to this regard.
- Safeguard the university's property and materials given and hand them over to the authorized unit after the end of the event.
- Do not request, collect, or participate in personal financial donations or any similar act during your participation in volunteering activity.
- Follow the safety and security procedures at the event site.
- Do not smoke during your participation in volunteering activity in, or outside the university.
- Document your volunteering hours and fill out volunteer satisfactory survey.
- View the volunteering policy of Volunteer University.

Anyone may volunteer including current or retired employees, students, alumni, or others may provide volunteer services to the university, with the following restrictions:

- A non-student under the age of eighteen may only become a university volunteer for services for which a Volunteer Agreement is not necessary (see Services Not Requiring a Volunteer Agreement below), and only with parental consent (see Selecting and Engaging a Volunteer below).
- An employee may not become a university volunteer at the university in any capacity in which he or she is employed at the university, or which is essentially like the individual's regular work at the university.
- Services that are not directly related to university business, such as those performed by employees for employee organizations, are generally not covered by this policy.

5.3.1 Volunteer Agreement & Procedures

The following segments of this document specify three types of services, based on the varying degrees of risk associated with each: services not requiring a Volunteer Agreement; services requiringa Volunteer Agreement; and prohibited activities (those which a university volunteer must generally never perform). The lists that follow are not exhaustive; they are intended to provide guidelines when considering university volunteer engagement. The Forms section of this policy does not imply a sample Volunteer Agreement, yet encourages each unit to design their own, provided it contains all the standard information needed. containing the minimum information necessary for those individuals' performing duties that require an agreement.

The following activities are generally considered low-risk, and do not require a completed Volunteer Agreement:

- Advisory Council participation
- Clerical work
- Commencement volunteer

- Gallery/program guide
- Museum docent (provided there is no travel requirement)
- Phone-a-thon volunteer.
- Public speaker

For the following activities, volunteers are generally required to complete a Volunteer Agreement (Forms):

- Laboratory work
- Professional services, such as those performed by accountants, architects, doctors,engineers, etc.
- Travel of any kind
- Work with animals.
- Work with confidential information.
- Work with minors, other than Alfaisal students or applicants to Alfaisal.
- Caution: For individuals under the age of eighteen, parental consent is required.

University volunteers are generally prohibited from performing the following activities:

- Operation of heavy equipment
- Work with hazardous materials.
- Work with stored energy.
- Any activity considered inappropriate for an employee.
- Entering any contract on behalf of the university

When engaging as a university volunteer, it is the unit's responsibility to be certain the individual has adequate experience, qualifications, and training for the task he or she will be required to perform. The following procedures are suggested to ensure that your selection process is satisfactory:

- Complete a Description of Volunteer Service for your university volunteer position before recruitment.
- Determine if a volunteer agreement is necessary (see the Services Not Requiring a Volunteer Agreement, Services Requiring a Volunteer Agreement, and the Prohibited Activities segments of this document).
- At your discretion, you may ask the individual to register at the national volunteer platform.
- If the individual is between fifteen and eighteen years of age, he or she may only become a university volunteer for services that do not require a Volunteer Agreement (individuals under fifteen may not volunteer for services). In these cases, a Parental Consent Form must also be completed.
- When your unit accepts an individual as a university volunteer, explain the description of duties and, if appropriate, the Volunteer Agreement. Fill in your unit's name on the agreement.
- When an agreement is warranted, have the individual sign it, and provide a copy, with the Description of Volunteer Service attached.
- Retain any forms completed during the above procedures, as well as copies of any attachments, for a period of three years from the date of the university volunteer's separation.

For some university volunteers, it may not be appropriate to follow some of the steps above (e.g., advisory council members, trustees, reunion chairs). You may end a university volunteer's term of service at any time and without warning. Indemnification is provided to university volunteers in the same manner as applies to employees, that is: for acts or omissions arising within the scope of the volunteer's performance of specifically authorized duties or assignments on behalf of the university. To ensure adequate documentation, the department or unit engaging the university volunteer must keep a copy of the Volunteer Agreement (with the Description of Volunteer Services attached)

5.3.2 Forms & Reporting

A variety of forms may need to be completed when selecting and engaging university volunteers. The forms included here are samples that contain the minimum information needed to comply with this policy; you may use them, or you may design your own.

Form	Use
Volunteer Profile	Provides necessary information to individuals who wish to engage university volunteers.
Description of Volunteer Services	Specifies duties that will be allowed and expected from university volunteers.
Volunteer Agreement	Ratifies the engagement of certain university volunteers.
Parental Consent Form	Establishes parental permission for university volunteers between the ages of fifteen and eighteen years.

All units shall document efforts and their impact on the environment and community via Alfaisal Social Responsibility Representatives for proper record keeping and reporting. As per the applicable reporting requirements of the Social Responsibility Department. Alfaisal SRS Representatives shall launch the new volunteer opportunities via the National Volunteer Portal to make it easy for people across the Kingdom to find meaningful volunteer opportunities that match their skills and interests.

Alfaisal is a member of the National Volunteer Portal offers a wide range of volunteer opportunities in Saudi Arabia, from supporting non-profit organizations to organizing community events. It is designed to make it easy for individuals to find and participate in volunteer opportunities that align with their personal goals and interests. The portal includes an easy-to-use system for issuing licenses and regulating private volunteer clubs and centers, ensuring that all establishments meet high standards and protect the safety and well-being of volunteers and the community. Additionally, the portal offers access to reports and verification services to help people make informed decisions. Not only does the National Volunteer Portal create meaningful opportunities to give back and make a difference in the lives of others, but it's helping people across the Kingdom gain new skills and experiences, meet new people, and feel a sense of accomplishment and purpose. Initiatives are working to achieve the Kingdom's goal of 1 million volunteers annually and support an emerging non- profit sector.

6. Environmental Sustainability

So, how can you help achieve sustainability? The UN offers 17 goals for sustainable development that act as the path to achieving a more sustainable future. These goals address global challenges like:

- Clean water and sanitation: Such as learning to avoid wasting water.
- Climate action: Acting now to stop global warming.
- Life below water: Avoiding the use of plastic bags to keep the oceans clean.
- Life on land: Planting trees to help protect the environment.
- Responsible consumption and production: Recycling items such as paper, plastic, glass, and aluminum
- Sustainable cities and communities: Biking, walking, or using public transportation.

Sustainability goes beyond nature itself. "We have to simultaneously recognize that oppressed communities are more severely impacted by environmental degradation," Weinstein said. You can't truly achieve sustainability, he said, until everyone has safe, healthy, and happy communities that operate with future generations in mind. Examples of Sustainability at Alfaisal include creating a positive environment with opportunities for all learners to become engaged with sustainability; fostering a culture of sustainability at all levels and being recognized within local communities; work behind the scenes, where processes such as carbon neutrality are followed through to ensure day-to- day operations are supporting sustainability; organizing and maintaining goals while being transparent on progress. Furthermore, tools such as the Office of Sustainability and the Environmentally Sustainable Strategic Plan are instrumental in conducting planning and administration.

6.1 Environmental Impact Assessment Procedures & Waste Management

The university conducts regular environmental impact assessments to identify areas for improvement and set sustainability targets. Assessments include not limited to:

- Energy audits to reduce consumption.
- Water usage assessments to minimize waste.
- Waste audits for efficient waste management.

To reduce its carbon footprint, Alfaisal University implements strategies such as:

- Investing in energy-efficient technologies and practices.
- Switch it Off: Turn off the lights when natural light is sufficient and when you leave the room. It's that simple!
- Phantom Power: many electronics continue using energy even when powered down, this is true of any charger, television, printer, etc. Use a power strip to easily unplug these electronics when not in use.
- Give it a Rest: Power your computer down when you're away. A computer turned off uses at least 65% less energy than a computer left on or idle on a screen saver.
- Take the Stairs: Use the stairs as often as possible. Elevators consume electricity. You, on the other hand, do not.
- Switch to CFLs: Compact fluorescent light bulbs (CFLs) use 75% less energy than incandescent and last up to 10 times longer.
- Conserve Paper: Print and copy on two sides, save single-sided pages for notes, and print only what you need.
- Promote Reuse: Donate used cell phones and chargers, furniture, clothing and cleaning and school supplies.
- Get a Little Exercise: enhance the culture of using stairs and walking on the campus if the distance is reasonable.
- Monitoring and reducing greenhouse gas emissions.

The university actively manages waste and promotes recycling through:

- Implementation of waste reduction and recycling programs.
- Educating the campus community on responsible waste disposal.
- Regular reviews of waste management practices for improvement.

7. Education and Research Initiatives

Alfaisal is home to several faculty-run centers that produce cutting-edge research on global issues in education. Additionally, the university's many practice-driven initiatives put innovative practices, strategies, and tools directly into the hands of practitioners, both in Saudi Arabia and across the globe. Alfaisal University integrates social responsibility principles into its academic programs by offering courses and seminars on ethics, and sustainability, and encouraging students to engage in social and sustainability-related projects and research. Likewise, the university supports research on social and environmental issues by allocating research grants and resources and facilitating collaboration between faculty and students on impactful research initiatives.

8. Employee Engagement and Well-being

Employees feel engaged when work feels more like a community and less like a chore. Employee wellness programs help foster a sense of community in the workplace, significantly improving employee mental health. Wellness practices help bring teammates together through challenges, activities, and healthy workplace habits. Employers are also able to demonstrate their support towards employees by offering wellness solutions and educational opportunities. Investing in an employee's well-being is investing in their happiness. The university promotes employee well-being through work-life balance policies, health and wellness programs, and opportunities for professional development and growth. For more information, please see section 6.3 University Volunteer Policies and Operational Plans. Alfaisal University also offers training programs for staff to enhance their understanding of their role in promoting these principles.

9. Community Events

Alfaisal University is dedicated towards bringing the best opportunities to its students, faculty, and staff to develop their hard and soft skills, encouraging them to explore new tasks and be involved in seasonal events that require teamwork, commitment, communication, and proactivity. These events vary in nature, duration, domain, and size, conducted by the University and/or in partnership with different entities with shared goals and objectives like national and international conferences. Social Responsibility conferences and events shall comply with Alfaisal set forth appropriate policy & procedures, standards, priorities, and guidelines for scheduling facilities and events.

To avoid overlapping all the community calendar will be online available for CSR representative to insert their event which will grantee Successful Alfaisal University Event Planning and impact. A well- crafted community calendar becomes the central meeting point that ignites emotional attachment, creates new revenue streams, and establishes a strong sense of identity for both locals and visitors alike. A thriving community is built upon a shared sense of connection, engagement, and opportunity. At the heart of fostering this vibrant atmosphere lies a critical element: a robust community calendar.

To successfully qualify as a university community event, the proposing Event must meet the following criteria:

- University policy governs all events and conferences should be followed.
- Be an officially recognized University organization; not an individual or an outside-unaffiliated organization wishing to utilize campus space.
- Ensure the event supports the overall mission and vision of Alfaisal University.
- Ensure the event is directly related to the Social Responsibility and sustainability mission and strategic goals of the organizing department and demonstrates educational access and benefits to the immediate Alfaisal community.
- Managing logistical planning and execution of the event
- Be willing to assume all financial responsibility for all event-related costs.
- Review and understand the commitment of Alfaisal staff resources.
- Be aware of the physical impact on the campus (parking, traffic, staffing, etc.) and account for increased traffic and parking on campus during "peak" hours.
- Confirm that the department's chair, school's dean, or other designated university authority within that university organization has been informed of the event and approves the proposed expenditure of funds.
- Ensure reasonable consideration is given and every effort is made to produce a sustainable "green" event.
- Fees charged through registration or tickets distributed must be arranged through an Alfaisal University related entity finance /facility/or registration service.
- Be responsible for the actual logistical pre-event planning, and management day-of event.
- Be present during the event as main point of contact.
- Any proceeds received are to benefit the Alfaisal organization only.
- Funds from outside organizations for event-related expenses

Off-campus fundraising activities by any Alfaisal entity including student organizations is restricted and requires prior university approval from the Office of Development. The university has such policies to coordinate fundraising efforts and to ensure good stewardship. Before seeking off-campus funding, you are expected to first exhaust on-campus sources. On-campus fundraising is easier, faster, and engages the university community. Crowd sourcing activities do not meet university policy and are not permitted.

Alfaisal event organizers may work with an outside organization not affiliated with Alfaisal under certain conditions. The Alfaisal organizer must work with an unaffiliated event sponsor to review:

- Potential conflicts of interest and addressed them before any agreements are made.
- The outside organization's goals must have some reasonable related goals and purpose to that of the Alfaisal academic organization presenting the event.
- How the outside group will contribute to the event (not manage, etc.)
- Unaffiliated event sponsors cannot receive any financial benefit from the event in net proceeds and cannot use the event as a fundraising activity.
- Written agreements are generally required.
- A certificate of insurance must be provided by an unaffiliated event sponsor to the university.
- Use of Alfaisal name and marks as well as any unaffiliated sponsored names and marks associated with any promotional materials must be reviewed and approved by the Alfaisal event organizer.
- The unaffiliated sponsor must not drive the event content, goals, expenses, or other logistics involved in partnering with the Alfaisal event organizer in presenting a university event.

Any event should be communicated early in the process with MC Events & Protocol before proceeding with the planning process, particularly when it consists of large, high-profile events.

10. Reporting, Transparency, Publications & International Standards

All units shall document efforts and their impact on the environment and community via Alfaisal SR Representatives for proper record keeping and reporting. Alfaisal University follows systematic procedures for reporting and documentation, including:

- Social Responsibility integrated platform for documentation and reporting, considering any national and international accreditation and/or classification bodies' requirements e.g. (satisfaction rate, rate of program & initiatives and the percentage of faculty members and students participating in community services, cost).
- The system will automatically generate reports base d on the uploaded data by the SOCIAL RESPONSIBILITY Department representatives.
- to form and monitor a coherent and synchronized portfolio via alignment and coordination,
- Producing the desired gains as per MoE & HRSD and mandate while maximizing the positive impact on the image of AlFaisal and the industry, which will ultimately support KSA Kingdom's Vision 2030 to transform Saudi Arabia into a thriving and dynamic nation.

An electronic platform that allows the University to deposit the contributions of its members (faculties, admin staff and students) in the University's Social Responsibility ports in a form of platform to be able to convert it to weighted value to document, evaluate and direct the future trajectory of the university's community services throughout the year in a sustainable manner. The main objective of the social responsibility portal (SRP) includes framing community responsibility institutionally and document it electronically through a system where it calculates its actual, equivalent, and estimated cost for the University's resources and possessions invested in university ports for the community responsibility and therefore create the capacity to evaluate it objectively. The specific objective of SRP consists of:

- Enhance orientation to electronically automate all community service-related milestones, standardization of formats and mechanism of action, leading to paperless environment.
- Establish community responsibility portal database; improve the efficiency and speed of data retrieval and employ them to serve the requirements of institutional accreditation.
- Facilitate linking the portal's operating categories with the decision-makers.
- Secure balance and integration between the contributors of social responsibility.
- Provide a secure and flexible method of documenting the efforts of the university staff in social responsibility.
- Motivate creativity, innovation, and entrepreneurship in social responsibility.
- Encourage and reinforce the culture of quality in community service and continuous development.
- Enable the university to announce its annual community service achievements and turn efforts to weighed and tangible values.

Reports are published on the university's official website annually, providing stakeholders with easy access to information about social responsibility initiatives, progress, and impacts. The university aligns with international reporting standards. Reporting on the SDGs leverages the GRI Standardsthe world's most widely used sustainability reporting standards - and the Ten Principles of the UN Global Compact to ensure transparency and comparability in reporting.

Alfaisal SR Representatives should launch and record all volunteer opportunities via the National Volunteer Portal which offers a wide range of volunteer opportunities in Saudi Arabia, from supporting non-profit organizations to organizing community events. It is designed to make it easy for individuals to find and participate in volunteer opportunities that align with their personal goals and interests. The portal includes an easy-to-use system for issuing licenses and regulating private volunteer clubs and centers, ensuring that all establishments meet high standards and protect the safety and wellbeing of volunteers and the community. Additionally, the portal offers access to reports and verification services to help people make informed decisions.

11. Stakeholder Communication, Benchmarking & Regulatory Compliance

Alfaisal University employs various strategies to communicate initiatives to stakeholders, including Annual Social Responsibility Department reports, social media and university publications, and Direct engagement with stakeholders through meetings and forums. Procedures are in place to gather feedback from stakeholders, including students, faculty, staff, and local communities, through surveys, feedback forms, and open channels of communication. The university conducts periodic stakeholder engagement sessions and consultations to understand their concerns, expectations, and to address specific issues related to initiatives.

Alfaisal University benchmarks its performance against top-notch universities globally to identify best practices and areas for improvement. The university employs robust mechanisms to assess the effectiveness of programs, including impact evaluations, surveys, and key performance indicators (KPIs). Based on assessment results, the university continuously improves and adapts Social Responsibility Department programs to align with evolving best practices and changing societal needs.

Alfaisal University maintains procedures to ensure compliance with local laws and regulations governing practices. The university aligns its Social Responsibility Department practices with international Social Responsibility Department standards and guidelines, seeking to exceed compliance when possible.

12. Resources, Budget Allocation & KPIs

Alfaisal University allocates financial and human resources to support initiatives, ensuring adequate funding and personnel for successful implementation. The university explores opportunities for obtaining external funding and grants to bolster projects and research. Risks associated with social responsibility activities are identified and assessed, and risk mitigation strategies are developed. Contingency plans are established to address unforeseen challenges or disruptions in initiatives, ensuring a swift and effective response. Key performance indicators (KPIs) are defined to measure the impact and effectiveness of initiatives. These may include Increase in community engagement metrics, Improvements in employee satisfaction related to social responsibility and sustainability and review the approved KPIs. The university conducts regular monitoring of KPIs and reports progress stakeholders in reports.

13. Review, Revision, Reporting, Recognition & Compliance

The policies and procedures are reviewed annually by the Department Committee to ensure alignment with evolving best practices and the university's objectives. Stakeholder feedback is actively sought and incorporated into the review process, ensuring that policies and procedures reflect the needs and expectations of stakeholders. Alfaisal University provides training programs and workshops for staff and students to enhance their understanding of principles and practices. Awareness campaigns are organized to promote social responsibility values among the university community and raise awareness about initiatives. The university provides a confidential mechanism for reporting concerns, allowing stakeholders to express their concerns without fear of retaliation. The university actively seeks awards and recognition on a national and international scale to acknowledge and celebrate its achievements. Policies and procedures are made accessible to all stakeholders through the university website and other communication channels. Information is disseminated through various university channels, including newsletters, social media, and internal communications. These detailed policies and procedures serve as a foundational framework for Alfaisal University's initiatives. Regular reviews and updates ensure that the policies remain relevant and effective in achieving objectives.

Procedures are in place to address instances of non-compliance with policies, including corrective actions measures when necessary. The university may take disciplinary actions against individuals or entities found to be in violation of principles, as outlined in university policies. These detailed policies and procedures serve as a foundational framework for Alfaisal University's social responsibility initiatives. Regular reviews and updates ensure that the policies remain relevant and effective in achieving objectives. It is the responsibility of the Corporate Social Responsibility Department and its stakeholders and all related units to implement the provisions of this SRSP.

14. Approvals

Prepared by Social Responsibility Department- External Relations
Reviewed and proofread by Res & Com Partnership Subcommittee
Approved and endorsed by University Councill

15. Definitions

These definitions apply to these terms as they are used in this policy.

Term	Definition
SOCIAL RESPONSIBILITY Department carries out...	Corporate social responsibility (SOCIAL RESPONSIBILITY AND SUSTAINABILITY) is a broad business concept. It describes a company's commitment to carry out its business in an ethical way. This means managing their business processes while taking account of their social, economic, and environmental impact, and considering human rights. Community service, community engagement, community partnerships, sustainable development, volunteer work
Agent of University	An individual acting on behalf of the university.
Indemnification	Protection by the university in the settlement of demands and expenses incurred in connection with judgments or claims against an individual, provided that the act or omission causing the judgment or claim occurred while the individual was functioning in the performance of authorized. duties on behalf of the university.
Stored Energy	Physical energy stored in springs, elevated machine. members, rotating flywheels, and hydraulic systems, or as air, gas, steam, or water pressure, etc.
University Volunteer	An individual who performs services for and directly related to the business of the university, without the expectation of compensation. the most common elements of the definitions of volunteerism used across countries and regions, namely that: **Volunteerism is an activity or work**. Volunteering is a contribution in-kind (i.e., time, skills, or services) and should be distinguished from donations in goods, cash, or other valuable assets. **Volunteerism is done by people**. Volunteers may act individually, as groups, or through associations and other formal organizations; but in all cases, a "volunteer" is a human being. **Volunteerism is done willingly**. Individuals must make a free choice to volunteer. If an individual is compelled or coerced, then he or she is generally not considered a volunteer. Within many cultures and religious faiths, certain types of volunteer activities may be considered a social or religious obligation; rural villagers in Africa, for example, may consider it a societal imperative to care for the elderly of the village and would not necessarily characterize such work as "volunteering." However, as the ILO explains, "social obligation, such as peer pressure, parental pressure, or expectations of social groups, does not make the activity compulsory." **Volunteerism is done without pay.** Confusion often arises surrounding the idea that volunteerism is done without pay. In some contexts, volunteers would not be expected to receive any kind of monetary compensation whatsoever, while in other places volunteers might be entitled to stipends intended to help cover their living expenses or reimbursements of expenses incurred (such as the cost of traveling back and forth to the volunteer location).
Units	All existing deanships, departments, projects, associations, clubs, and centers are involved in all forms of community. All faculties, staff and students involved in all forms of community.
The initiator	initiator of a given community partnership or activity

Sustainability and Strategic Planning Office

Strategic Planning Policy -SS001

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01
Policy Purpose
The purpose of this Strategic Planning Policy is to establish a clear and systematic approach for the development, implementation, review, and updating of Alfaisal university's Strategic Plan. This policy ensures that our strategic planning processes are aligned with our mission, vision, and core values, and that they effectively address the current and future challenges and opportunities facing the university.

Policy Scope
This policy applies to all colleges, faculties, departments, and units within Alfaisal university encompassing academic, research, administrative, and support functions. It outlines the responsibilities of all members of the university community in contributing to the strategic planning process.

This policy will be reviewed and revised as necessary to reflect changes in the strategic direction or operational needs of Alfaisal university. Any modifications will be approved by the University Council.

Policy Statement

Alfaisal University is committed to excellence in education, research, and community engagement. Our strategic planning process is designed to be inclusive, transparent, and dynamic, providing a roadmap for the university's future growth and development. It will guide decision-making, resource allocation, and performance measurements across all levels of the university.

Key Principle

The strategic planning process at Alfaisal University is guided by the following principles:

- Inclusivity: Engaging a broad range of stakeholders in the planning process.
- Transparency: Ensuring that information about the strategic planning process is openly shared.
- Accountability: Holding individuals and units responsible for achieving strategic objectives.
- Adaptability: Remaining flexible to adjust to changing internal and external environments.
- Alignment: Ensuring that the Strategic Plan aligns with the university's mission, vision, and values.

Strategic Planning Process

The Steering Committee at Alfaisal University oversees the strategic planning process and ensures alignment with the university’s mission, vision, and long-term priorities. Reporting directly to the University Council, the committee provides high-level oversight and submits periodic updates, including progress, key challenges, and recommendations.

The main responsibilities of the Steering Committee include:

- Strategic Oversight: The committee ensures that the development and implementation of the strategic plan align with the university's core priorities, such as enhancing global ranking, research, teaching and learning excellence, and community engagement.
- Monitoring and Evaluation: The committee regularly reviews progress toward key strategic goals, assesses performance indicators, and recommends adjustments to keep the university on track to achieve its targets, including alignment with initiatives like Saudi Vision 2030.
- Resource Allocation: The Steering Committee advises on the optimal allocation of financial and human resources to support strategic initiatives, ensuring sustainability and proper use of university assets.
- Risk Management: It identifies potential risks and develops mitigation strategies to minimize disruptions in the implementation of the strategic plan.

- Reporting to University Council: The committee reports directly to the University Council, ensuring the council is well-informed to make critical decisions regarding institutional priorities and resources.

The comprehensive framework for developing, implementing, reviewing, and updating the university's strategic plan is essential for aligning the university's goals with its actions. This framework is tailored to the specific needs of Alfaisal University and is structured around five major consecutive phases. These phases guide the strategic planning process from conception to execution, ensuring that institutional efforts remain aligned with internal priorities and external opportunities.

Figure 1: Alfaisal University Strategic Planning Framework

Phase One: Preparatory Phase

The objective of the Preparatory Phase is to establish a solid foundation for Alfaisal University's strategic planning process by ensuring all key elements are in place before moving forward. This phase focuses on setting clear parameters for the strategic plan and conducting a thorough analysis of both internal and external factors.

- **Define the Scope and Timeline**: Establish clear boundaries for the strategic plan's coverage and set a realistic timeline for its development and implementation.
- **Conduct an Environmental Scan**: Perform a SWOT analysis to assess internal strengths and weaknesses, along with external opportunities and threats, helping the university understand its current standing and future possibilities.
- **Incorporate National Goals**: Summarize key national initiatives, such as Saudi Vision 2030, the Ministry of Education's goals, and the Human Capital Development Program, to ensure that the strategic plan aligns with these broader objectives and uses them as key drivers for shaping the university's future direction.

Phase Two: Development Phase

The objective of the Development Phase is to create a strategic plan through a collaborative and inclusive process that engages stakeholders across the university.

This phase ensures that the strategic plan is aligned with the university's core values and aspirations and sets a clear path forward.

- **Vision and Mission Review**: Review and, if necessary, revise the university's vision and mission statements to ensure they accurately reflect current values and long-term aspirations.
- **Goal Setting**: Establish strategic goals that are SMART (specific, measurable, achievable, relevant, and time-bound), ensuring they align with the university's vision and mission.

- **Strategy Development**: Develop detailed strategies and actions to achieve each goal. This process involves wide consultation with faculty, staff, students, and other stakeholders to ensure collective ownership, buy-in, and the feasibility of the plan.

Phase Three: Implementation Phase

The objective of the Implementation Phase is to put the strategic plan into action while maintaining flexibility and responsiveness to emerging needs and challenges. This phase translates strategic goals into concrete actions and ensures all stakeholders are aligned and engaged throughout the process.

- **Action Plans**: Create detailed action plans for each strategic goal, outlining specific tasks, timelines, responsible parties, and the resources required to ensure successful execution.
- **Communication Plan**: Develop and implement a communication strategy to share the strategic plan with all stakeholders, fostering transparency, engagement, and collective ownership.
- **Resource Allocation**: Allocate the necessary resources, such as budget and personnel, to support the effective implementation of the strategic plan and ensure that each initiative has the support it needs.

Phase Four: Review and Evaluation Phase

The objective of the Review and Evaluation Phase is to regularly assess the progress of the strategic plan and make necessary adjustments to ensure ongoing relevance and effectiveness. This phase focuses on continuous improvement and responsiveness to emerging challenges and opportunities.

- **Monitoring and Reporting**: Develop a system for tracking progress toward strategic goals using key performance indicators (KPIs) and establish regular reporting mechanisms to maintain transparency and accountability.
- **Review Meetings**: Conduct regular review meetings with the Steering Committee and other key stakeholders to evaluate progress, address challenges, and identify new opportunities.
- **Feedback Loops**: Implement feedback mechanisms that allow the university community and stakeholders to provide input on the plan's implementation and its impact, ensuring continuous alignment with institutional needs and priorities.

Phase Five: Updating Phase

The objective of the Updating Phase is to refresh the strategic plan based on the outcomes of evaluations and any changing circumstances. This phase ensures the plan remains dynamic and adaptable, continuously aligned with the university’s evolving goals and external factors.

- **Assessment of Outcomes**: Evaluate how well the strategic goals have been achieved and identify areas of success as well as those requiring further attention.
- **Adjustment and Adaptation**: Revise strategies and action plans to address any unmet goals or to respond to new challenges, opportunities, or shifts in the university’s environment.
- **Renewal Process**: Every 2-3 years, initiate a comprehensive review and renewal of the strategic plan to ensure it remains relevant and aligned with the university’s long-term aspirations and the changing external landscape

By following this framework, Alfaisal university can ensure that its strategic planning process is dynamic, inclusive, and practical, leading to a plan that is both aspirational and achievable.

Roles and Responsibilities

- **Governing Body:** Provides overall approval of the Strategic Plan.
- **Strategic Planning Committee**: Leads the development, implementation, and review of the Strategic Plan.
- **University Community:** Engages in the strategic planning process and contributes to the achievement of strategic objectives.

- **Strategic Planning Office:** Supervise the strategic planning process and supports the Strategic Planning Committees.

Sustainable Development Policy -SS002

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Policy Purpose
This policy establishes the institutional framework for integrating sustainability principles across all University functions and activities. It aims to:

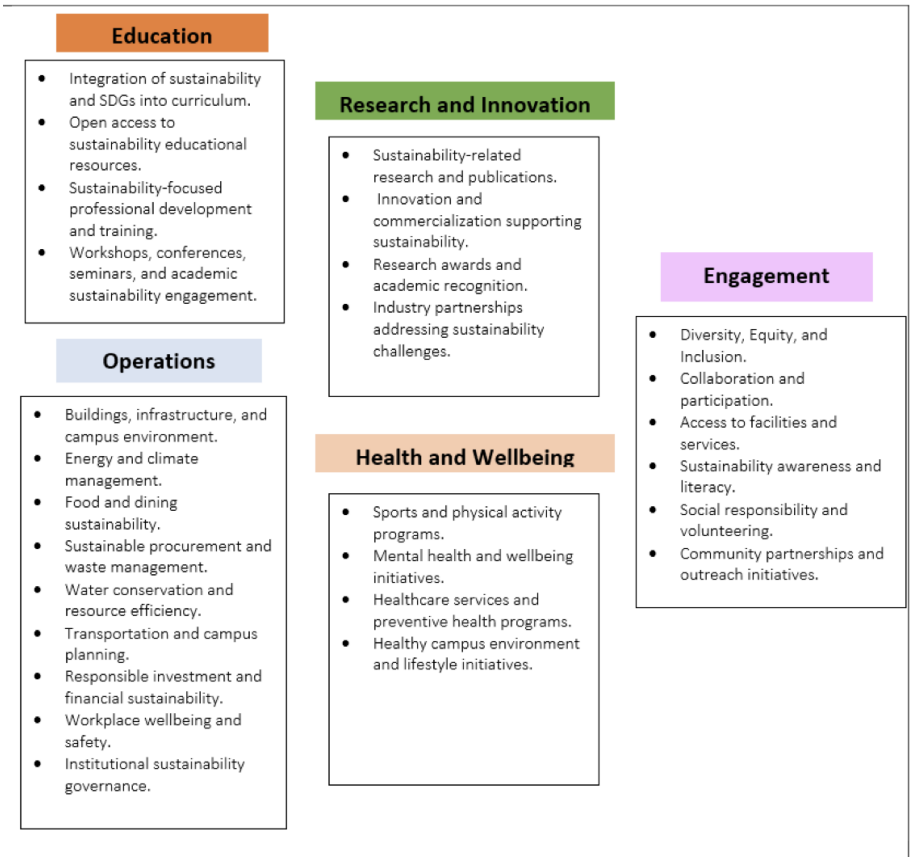
- Support achievement of global and national sustainability priorities.
- Promote responsible environmental, social, and economic practices.
- Advance sustainability knowledge, research, and innovation.
- Foster a culture of sustainability across the University community.
- Ensure transparency, accountability, and continuous improvement in sustainability performance.

Policy Scope
This policy applies to all University stakeholders, including students, faculty, staff, Alumni ,contractors, partners, and affiliated entities. It covers sustainability integration across institutional governance, operations, education, research, community engagement, and health and wellbeing.

Policy Statement/ Definitions/Procedures

Institutional Sustainability Framework

Alfaisal University implements sustainability across five core institutional sustainability areas:



Goals

The University aims to:

- Integrate sustainability principles across governance, operations, education, research, community engagement, and health and wellbeing.
- Promote efficient and responsible use of energy, water, and materials.
- Support transition toward climate-resilient and low-carbon operations.
- Advance sustainability research and interdisciplinary innovation.
- Strengthen sustainability education and awareness across the University community.
- Promote healthy and sustainable campus environments that support physical, mental, and social wellbeing.
- Strengthen community partnerships supporting sustainability outcomes.
- Monitor and report sustainability performance transparently and consistently

Policy Statement

Alfaisal University is committed to:

- Integrating sustainability into institutional decision-making and strategic planning.
- Supporting environmentally responsible and socially beneficial initiative.
- Promoting sustainability leadership through education, research, and innovation.
- Reducing environmental impact through responsible resource management.
- Supporting climate action and environmental stewardship initiatives.
- Promoting diversity, inclusion, and social responsibility across institutional activities.
- Supporting the health, safety, and wellbeing of the University community.
- Maintaining transparent sustainability reporting and continuous institutional improvement

Key Principles

The University's sustainability approach is guided by the following principles:

- Environmental Responsibility: Reducing emissions, conserving resources, and protecting ecosystems.
- Social Equity: Promoting diversity, inclusion, equal opportunity, and community wellbeing.
- Economic Sustainability: Supporting long-term financial and operational sustainability.
- Climate Resilience: Supporting climate adaptation and mitigation strategies.
- Collaboration: Partnering locally and globally to advance sustainability impact.
- Innovation: Encouraging research and technological solutions for sustainability challenges.

Roles and Responsibilities

Role	Responsibility
1.University Council	Provide strategic direction, institutional commitment, and resource allocation for sustainability initiatives.
2.Sustainability & Strategic PlanningOffice	Develop sustainability strategies, monitor performance, and report institutional sustainability progress.
3.Facilities Management	Implement sustainable infrastructure, resource efficiency, and climate-resilient operational practices.
4.Faculty & Researchers	Integrate sustainability into teaching, research, and innovation activities.
5.Students & Staff	Participate in sustainability initiatives and support sustainable practices in daily activities.

Monitoring, and Reporting.

The University will:

- Monitor sustainability performance indicators across operational, academic, and engagement areas.
- Track progress toward institutional sustainability and climate objectives.
- Measure and monitor greenhouse gas (GHG) emissions in alignment with internationally recognized standards, including the Greenhouse Gas (GHG) Protocol, where applicable.
- Report sustainability performance through institutional and external reporting frameworks where applicable.
- Maintain transparency through regular sustainability disclosures and reporting.

Sustainability in Funding and Resource Allocation

The University will support sustainability through:

- Responsible and sustainable investment practices.
- Funding sustainability research and innovation initiatives.
- Supporting student sustainability projects.
- Investing in sustainable infrastructure and technologies

Governance

Steering Committee committees responsible for oversight, implementation, and performance monitoring of sustainability initiatives.

Review and Amendments

This policy will be reviewed every two years, or earlier if required, to ensure alignment with emerging sustainability standards, regulatory requirements, and institutional priorities.

Sustainable Investment Policy -SS003

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Policy Purpose
This policy aims to:

- Align the University’s investment strategy with its sustainability commitments.
- Promote responsible investment practices that support social and environmental well-being.
- Mitigate financial risks associated with unsustainable business practices.
- Enhance transparency, accountability, and stakeholder engagement in investment activities.

Policy Scope
This policy applies to all financial assets managed by Alfaisal University, including endowments, reserves, and other investment funds, whether managed directly or through third-party investment firms or investment mandates executed on behalf of the University.

Policy Statement/ Definitions/Procedures

Definitions

For the purposes of this policy, the following definitions apply:

Term	Definition
Environmental, Social, and Governance (ESG)	A set of criteria used to evaluate an Alfaisal University ’s environmental impact, social responsibility, and governance practices. ESG factors may include, but are not limited to, climate change management, resource efficiency, labor practices, human rights, business ethics, and board transparency.
Sustainable Investment	An investment approach that considers ESG factors alongside financial performance to support long-term value creation while contributing to environmental protection, social well-being, and responsible governance practices.
Responsible Investment	An investment strategy that integrates ESG considerations into investment analysis, decision-making, and ownership practices to better manage risks and generate sustainable, long-term returns.
Impact Investment	Investments made with the intention of generating measurable positive environmental or social outcomes alongside financial returns.
Exclusionary Investment	The practice of excluding investments in sectors, companies, or activities that do not align with the University’s ethical standards, sustainability commitments, or responsible investment principles.
Climate-Related Financial Risk	Financial risks associated with climate change, including physical risks (such as extreme weather events) and transition risks (such as regulatory changes, market shifts, and technological changes related to the transition to a low-carbon economy).
Investment Managers	Internal or external entities responsible for managing investment portfolios on behalf of the University, including asset managers, fund managers, or investment advisors.
Stakeholders	Individuals or groups affected by or having an interest in the University’s investment activities, including students, faculty, staff, partners, regulators, and the broader community.

Goals

The key objectives of this policy are:

- Integrate Environmental, Social, and Governance (ESG) criteria into investment decision-making processes.
- Support and progressively expand investments that generate measurable positive environmental and social outcomes, where aligned with financial performance and portfolio objectives.
- Enhance financial resilience by mitigating climate-related and ESG-related risks.

- Ensure transparency and accountability through regular reporting on investment performance and sustainability outcomes.
- Engage with investment managers to promote responsible corporate behavior and effective ESG integration.
- Promote awareness and understanding of sustainable investment principles among relevant stakeholders.
- Align investment practices with internationally recognized responsible investment frameworks, including the United Nations Principles for Responsible Investment (UN PRI), where appropriate.

Policy Statement

Alfaisal University is dedicated to:

- Prioritizing investments in companies and funds demonstrate strong ESG performance and responsible business practices.
- Avoiding or limiting investments in industries with significant negative social or environmental impacts.
- Supporting initiatives that promote renewable energy, social equity, and sustainability.
- Encouraging investment managers to adopt responsible investment strategies.
- Striking an appropriate balance between financial returns and long-term sustainability goals.

Key Principles

The University's sustainable investment approach is guided by the following principles:

- **Environmental Stewardship:** Investing in companies that prioritize climate resilience, resource conservation, and sustainable practices.
- **Social Responsibility:** Supporting organizations that uphold human rights, fair labor practices, and community well-being.
- **Strong Governance:** Ensuring investments are made in entities with ethical business practices and transparent governance structures.
- **Risk Management:** Reducing exposure to investments that pose long-term financial and environmental risks.
- **Stakeholder Engagement:** Collaborating with faculty, students, and external experts to uphold responsible investment standards.

Roles and Responsibilities

1. University Council and Board of Trustees	Provide strategic oversight and ensure alignment with sustainable investment principles.
2. Investment Committee	Develop and oversee the implementation of sustainable investment strategies.
3. Finance Office	Monitor, assess, and report on investment performance and ESG alignment.
4. Sustainability & Strategic Planning Office	Advise on sustainability considerations in investment decision-making.

Monitoring and Reporting

Alfaisal University is committed to ensuring that its investment activities are conducted in accordance with this policy and aligned with applicable regulatory requirements, sustainability commitments, and best practices in responsible investment.

Monitoring

- The University will establish appropriate mechanisms to monitor the sustainability performance of its investment portfolio. This includes, but is not limited to:
- Periodic review of investment portfolios against ESG criteria
- Evaluation of climate-related and sustainability-related financial risks
- Monitoring the ESG performance and practices of investment managers and funds
- Reviewing exposure to high-risk sectors from environmental, social, and governance perspectives

Where applicable, the University may require ESG-related disclosures and performance reports from external investment managers.

Reporting

- The University will ensure transparency and accountability through regular reporting of sustainable investment performance. This may include:
- Internal reporting to relevant governance bodies, including the University Council, Board of Trustees, or Investment Committee
- Contribution to institutional sustainability reporting, ESG disclosures, or annual reports where applicable
- Supporting data and evidence for sustainability benchmarking, global ranking submissions, and external assessments where relevant

The Sustainability & Strategic Planning Office, in collaboration with the Finance Office and Investment Committee, will support the development of appropriate reporting mechanisms and performance indicators related to sustainable investment practices.

Implementation and ESG Integration Approach

Alfaisal University is committed to embedding Environmental, Social, and Governance (ESG) considerations into its investment practices through a structured and responsible implementation approach. The University will apply ESG integration across the investment lifecycle to support sustainable financial performance and positive environmental and social outcomes.

ESG Integration in Investment Decision-Making

The University will incorporate ESG considerations into investment evaluation, selection, and monitoring processes. This may include:

- Assessing ESG performance and risk exposure as part of due diligence for new investments.
- Considering long-term sustainability risks, including climate-related financial risks
- Evaluating alignment of potential investments with the University's sustainability values and commitments.
- Encouraging investment managers to demonstrate ESG integration within their investment methodologies.

Screening and Investment Selection

Where appropriate, the University may apply screening approaches to guide investment selection, including:

1. **Negative Screening**
   Limiting or avoiding investments in sectors or activities that conflict with the University's ethical values, sustainability commitments, or responsible investment principles.
2. **Positive Screening**
   Prioritizing investments in companies, funds, or sectors demonstrates strong ESG performance and sustainability leadership.

Active Ownership and Engagement

Where applicable and feasible, the University will encourage responsible investment practices through engagement with investment managers and investment entities.

This may include:

- Encouraging adoption of ESG standards and responsible governance practices
- Supporting transparency and disclosure of ESG performance
- Promoting long-term value creation and responsible corporate behavior

Integration of Sustainability Opportunities

The University may seek opportunities to support investments that contribute to sustainable development priorities. This may include where appropriate:

- Renewable energy and climate transition solutions
- Sustainable infrastructure and resource efficiency
- Social impact and community development initiatives
- Investment decisions will continue to consider financial performance, risk management, and portfolio diversification requirements.

Continuous Improvement

The University is committed to continuously enhancing its sustainable investment

practices by:

- Monitoring emerging ESG standards, regulatory developments, and global best practices
- Strengthening ESG data availability, reporting, and analytics where feasible
- Collaborating with internal stakeholders and external experts to improve responsible investment approaches

Related Policies and frameworks

- This policy should be read alongside:
- Climate Action Policy
- Sustainable Procurement Policy
- Corporate Social Responsibility (CSR) Strategy
- University Sustainability Strategy
- Risk Management Policy
- Endowment Policy.

Compliance

The University shall ensure that all investment decisions and activities comply with:

- This Sustainable Investment Policy
- Applicable national and international regulations and standards
- The University's ethical values, sustainability commitments, and governance frameworks

All internal and external investment managers acting on behalf of the University are expected to adhere to the principles outlined in this policy and demonstrate integration of ESG considerations within their investment processes.

Review and Amendments

This policy will be reviewed periodically to ensure it remains relevant and aligned with evolving sustainability standards, best investment practices, and regulatory requirements. Adjustments will be made as needed to enhance its effectiveness and impact.

Climate Action Policy -SS004

Policy Code
SS004
Department/Office
Sustainability and Strategic Planning
Approved By

University Council

Approval Date

Wed, 05/06/2026 - 12:00

Version

01

Policy Purpose

The purpose of this policy is to establish a structured institutional approach to sustainability and climate action, integrating these principles into all aspects of the university's operations, research, and education. It aims to ensure compliance with international best practices, enhance institutional sustainability performance, reduce greenhouse gas (GHG) emissions, and contribute to achieving the United Nations Sustainable Development Goals (SDGs).

Policy Scope

This policy applies to all stakeholders within the university community, including students, faculty, staff, contractors, and partners. It covers campus operations, academic and research activities, community engagement, and strategic partnerships related to sustainability and climate resilience.

Policy Statement/ Definitions/Procedures

Definitions

For the purposes of this policy, the following definitions apply:

Term	Definition
Climate Action	Actions taken to mitigate climate change by reducing greenhouse gas emissions and adapt to its impacts through resilience planning, sustainable infrastructure, and environmental stewardship initiatives.
Sustainability	The responsible management of environmental, social, and economic resources to meet present needs without compromising the ability of future generations to meet their own needs
Greenhouse Gas	Gases that trap heat in the atmosphere and contribute to (GHG) Emissions climate change, including carbon dioxide (CO_2), methane (CH_2), nitrous oxide (N_2O), and other industrial gases.
Carbon Neutrality	Achieving a balance between greenhouse gas emissions produced and emissions removed from the atmosphere through reduction measures, energy efficiency, renewable energy adoption, or verified carbon offset mechanisms.
Net Zero Emissions	Achieving a state where greenhouse gas emissions produced are equal to or less than emissions removed from the atmosphere through verified reduction and removal strategies, in alignment with global climate targets.
Climate	Resilience The ability of systems, infrastructure, and communities to anticipate, prepare for, respond to, and recover from climate-related risks and impacts
Renewable Energy	Energy generated from natural resources that are replenished on a human timescale, such as solar, wind, geothermal, and hydro energy.
Resource Efficiency	The sustainable use of natural resources, including energy, water, and materials, to minimize environmental impact while maintaining operational effectiveness.
Environmental	The responsible use and protection of the natural Stewardship environment through conservation, sustainable practices, and environmental management.
Climate Risk	Potential financial, operational, environmental, or reputational risks arising from climate change, including physical risks (extreme weather events) and transition risks (policy, regulatory, and market changes).
Stakeholders	Individuals or groups affected by or having an interest in the University's sustainability and climate action activities, including students, faculty, staff, partners, regulators, and the broader community.

Goals

The key objectives of this policy are:

1. Integrate sustainability and climate action into all aspects of university governance, operations, and academic programs.
2. Promote resource efficiency by reducing energy consumption, water usage, and waste production.

3. Achieve carbon neutrality through sustainable infrastructure, renewable energy adoption, and emission reduction initiatives.
4. Advance sustainability research and innovation by supporting projects that address climate change and environmental challenges.
5. Enhance sustainability education and awareness among students, faculty, and staff to foster a culture of environmental responsibility.
6. Strengthen community engagement and partnerships to promote sustainability beyond the university campus and contribute to national and global climate initiatives.
7. Monitor, assess, and report on sustainability performance through transparent and accountable mechanisms.

Policy Statement

Alfaisal University is dedicated to:

- Reducing its environmental footprint by implementing sustainable practices in energy, water, and waste management.
- Integrating climate action into curricula, research, and innovation to foster climate- conscious leadership.
- Engaging with the local and global community to advance climate resilience and sustainability goals.
- Supporting the transition toward carbon-neutral operations and reduced greenhouse gas emissions.
- Monitoring and reporting on sustainability and climate action performance for continuous improvement.

Key Principles

The university's sustainability and climate action efforts are guided by the following principles:

1. Climate Resilience: Adapting to and mitigating the impacts of climate change through research and operational strategies.
2. Environmental Responsibility: Reducing emissions, conserving resources, and protecting biodiversity.
3. Social Equity: Ensuring fair access to education, promoting inclusivity, and fostering community well-being.
4. Economic Resilience: Implementing cost-effective and resource-efficient solutions to enhance long-term sustainability.
5. Collaboration: Partnering with local and global stakeholders to drive sustainable impact and climate action.
6. Innovation: Encouraging research and technological solutions for sustainability and climate challenges.

Roles and Responsibilities

1. Steering Committee	Ensure institutional commitment to sustainability and climate action, allocate necessary resources, and promote the integration of sustainability and climate initiatives across the University.
2. Sustainability & Strategic Planning Office	Develop institutional sustainability and climate strategies, monitor performance, and report progress on climate action and sustainability initiatives.
3. Facilities Management	Implement and support energy-efficient, resource-efficient, and climate-resilient infrastructure and operational practices across campus facilities.
4. Faculty & Researchers	Integrate climate action and sustainability principles into academic curricula, research activities, and innovation initiatives where appropriate.
5. Students & Staff	Support and participate in sustainability programs and adopt environmentally responsible practices in daily activities.

Monitoring, and Reporting

Alfaisal University is committed to monitoring and evaluating its climate action and sustainability performance in alignment with institutional objectives and international best practices. The University will:

- Monitor greenhouse gas emissions and environmental performance indicators.
- Track progress toward sustainability and climate action goals.

- Measure, monitor, and report greenhouse gas (GHG) emissions in alignment with internationally recognized standards and best practices, including the Greenhouse Gas (GHG) Protocol, where applicable.
- Report sustainability and climate performance through institutional reporting and relevant external reporting frameworks where applicable.
- Support transparency and accountability through regular internal and external reporting.

Related Policies

This policy should be read in conjunction with the following university policies and frameworks:

- Sustainable Procurement Policy
- Energy and Resource Efficiency Guidelines
- Research and Innovation Policy

Review and Amendments

This policy will be reviewed every two years to ensure it remains aligned with evolving sustainability and climate action standards, international agreements, and best practices. Amendments may be made as necessary to enhance the university's sustainability and climate impact.

Lifelong Learning Access Policy -SS005

Policy Code
SS005
Department/Office
Sustainability and Strategic Planning
Approved By
University Council
Approval Date
Wed, 05/06/2026 - 12:00
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01
Policy Purpose
This policy establishes Alfaisal University's institutional approach to lifelong learning and formalizes its commitment to providing inclusive and equitable access to learning opportunities throughout the lifespan.

The policy aims to support continuous skills development, employability, social participation, and community engagement by enabling learners to pursue education within and beyond formal degree programs.

Policy Scope
This policy applies to lifelong learning opportunities offered or supported by Alfaisal University and includes the following groups:

- Current Alfaisal University students (undergraduate and postgraduate).
- Alumni of Alfaisal University.
- Visiting and non-degree learners registered in approved courses, workshops, or programs.
- Members of the wider community participate in authorized outreach, professional development, or educational initiatives.

Policy Statement/ Definitions/Procedures

Definitions

For the purposes of this policy, the following definitions apply:

Term	Definition
Lifelong Learning	A continuous, voluntary, and self-motivated pursuit of knowledge, skills, and competencies for personal, professional, and societal development across the lifespan.
Non-Degree Learning	Educational activities that do not lead to a formal academic degree including short courses, workshops, certificates, professional development programs, and independent or directed study.
Digital Learning	Learning is delivered or supported through online platforms, digital resources, and information technology systems that enable flexible and remote access to educational content.
Community Learning	Educational and capacity-building activities offered to members of the wider community through outreach programs, partnerships, and social responsibility initiatives.

Goals

The key objectives of this policy are:

- Promote lifelong learning as a continuous process for personal and professional advancement.
- Ensure fair, inclusive, and non-discriminatory access to learning opportunities and educational resources.
- Expand access to academic and digital learning resources, including library services and online learning platforms.
- Facilitate participation in short courses, workshops, independent study, and skills-development programs.
- Strengthen community engagement through outreach-based learning initiatives.
- Align lifelong learning initiatives with institutional sustainability goals and **SDG 4 (Quality Education)**

Policy Statement

Alfaisal University is committed to fostering a culture of continuous learning by providing equitable access to diverse educational opportunities and learning resources. Lifelong learning opportunities are made available without discrimination based on ethnicity, religion, disability, nationality, immigration status, or gender, in accordance with national regulations and international principles of equality and inclusion. Lifelong learning at Alfaisal University is supported through:

- **Formal learning:** Undergraduate, postgraduate, certificate, and accredited academic programs.
- **Non-degree learning:** short courses, workshops, independent or directed study, and visiting-student programs.
- **Learning resources:** Access to University library and LABs services, digital databases, and IT-supported e-learning platforms.
- **Co-curricular development:** Student clubs, volunteering, innovation, leadership, and experiential learning activities coordinated through relevant University units

Access to these opportunities is guided by Alfaisal University's commitment to academic excellence, inclusivity, and community partnership.

Key Principles

Lifelong learning at Alfaisal University is guided by the following principles:

- Lifelong learning is an essential component of the University's educational philosophy and mission.
- Learning opportunities should be inclusive, equitable, and accessible to all eligible learners.
- Access to physical and digital learning facilities prioritizes enrolled students while encouraging participation from alumni and community learners where feasible.
- Educational resources and learning environments should be accessible to individuals with diverse needs, including people with disabilities.
- All activities under this policy shall comply with Ministry of Education regulations and align with the University's values, sustainability commitments, and strategic priorities.

Roles and Responsibilities

Role	Responsibility
1.**Vice President for Academic Affairs**	Oversees implementation of this policy and ensures alignment with institutional strategy and academic priorities.
2.**Deanship of Student Affairs, Admissions & Registration**	Manages access pathways and administrative processes for non-degree, visiting, and alumni learners.
3.**Library and IT Services**	Maintain and support continuous access to learning resources, digital platforms, and e-learning systems for students, faculty, and approved learners.
4.**Colleges and Center of Executive Education & Development**	Develop and deliver academic, professional, and skills-based programs that support lifelong learning objectives.
5.**Social Responsibility**	Promote outreach initiatives and partnerships that extend learning opportunities beyond the University campus.
6.**Sustainability and Strategic Planning Office (SSPO)**	Monitor alignment with **SDG 4**, support data collection and reporting on lifelong learning participation, and contribute to continuous improvement initiatives.

Monitoring and Reporting

Student Affairs will monitor participation and engagement in lifelong learning activities and report relevant indicators in alignment with institutional strategy, national priorities, and applicable international frameworks. Data collected will support transparency, quality enhancement, and continuous improvement of lifelong learning offerings.

Related Policies

This policy should be read in conjunction with relevant Alfaisal University policies and guidelines, including those issued by:

- Deanship of Student Affairs
- Library and IT Services
- Sustainability and Strategic Planning Office

Review and Amendments

This policy will be reviewed every two (2) years to ensure continued alignment with evolving educational practices, accessibility standards, regulatory requirements, and the University's strategic priorities. Amendments may be made as necessary to enhance inclusivity, digital access, and community engagement.

University Governance

ByLaws Alfaisal University -GV001

Policy Code

GV001

Approved By

University Council

1. Contents

This policy details Bylaw definitions, governance structure, intellectual property, conflicts of interest, grievances/ employment issues, HR policies/regulations, and research misconduct.

2. Preamble

Founded in 2002, Alfaisal University is an NCAAA-accredited institution of higher education situated on the historic grounds of the palace of His Majesty the Late King Faisal in Riyadh, Saudi Arabia. The University is dedicated to excellence in education, research, and community service, aligning its mission with the aspirations of Saudi Vision 2030.

Alfaisal University encompasses six colleges—Business, Engineering & Advanced Computing, Medicine, Science & General Studies, Pharmacy, and Law & International Relations—offering diverse undergraduate and postgraduate programs designed to prepare students for global leadership and innovation. The University's distinguished faculty foster academic rigor, research excellence, and mentorship, equipping students with the skills to thrive in an ever-evolving world.

Committed to a student-centered and research-focused approach, Alfaisal University provides unparalleled opportunities for collaborative research, international exchange, and personal development. Strategic partnerships with King Faisal Specialist Hospital, international universities, and leading corporations—such as Boeing, BAE Systems, Thales, and Shell—underscore the University's pursuit of innovation and global impact.

Since its first cohort in 2008, Alfaisal University has emerged as a leading academic institution in the Kingdom, guided by the unwavering support of its Founders, Board of Trustees, and valued partners. Together, they drive the University's mission to contribute meaningfully to the nation and beyond, fostering a legacy of lifelong learning, service, and global citizenship.

2.1 Vision

A nonprofit research university that aspires to be a world-class institution and a pioneer in innovation and knowledge applications.

2.2 Mission

Alfaisal is a student-centered university creating and disseminating knowledge through world-class academic programs, research, and services that benefits humanity.

3. Definitions

Advisory Boards: A group of people chosen to give expert and unbiased strategic advice and guidance to the Colleges.

Bylaws: Bylaws are the regulations of an organization and contain the basic rules for the conduct of the entity's business and affairs. The bylaws may contain any provision for managing the university and regulating its' affairs.

Board of Trustees: A group of people who are responsible for making rules and financial decisions on behalf of a not-for-profit organization (Alfaisal university). The body entrusted with the governance and the oversight of the university's academic, administrative and financial performance in accordance with the law.

University Council: The body entrusted with the governance and oversight of the university's academic, educational, administrative, and financial performance, in accordance with the law.

College: A constituent part of a collegiate university.

An academic establishment composed of academic departments falling under a general field of study.

College Council: The body entrusted with the college's academic affairs, in accordance with the law.

Department Council: The body entrusted with managing the department's academic affairs.

Department: An academic unit representing academic specialization.

Committee: A small group of people representing the larger organization appointed to consider, investigate, act or report on some specific matter or area of the business.

Graduate Studies: A stage of education above the bachelor's, such as a graduate certificate, master's degree, or doctorate.

Joint Program: An academic program in which more than one department or college from within the university, or from the educational institutions or research institutions inside or outside the Kingdom participate; and it has specific learning outcomes.

Conflict of Interest: A conflict of interest exists when two or more contradictory interests relate to an activity by an individual or an institution or, a situation in which someone cannot make a fair decision because they will be affected by the result.

Dean: Chair of a college within the university.

Faculty: The teaching and administrative staff and those members of the administration having academic rank in an educational institution (Alfaisal university).

Governance: The act or process of governing or overseeing the control and direction of the university.

Intellectual Property: Intellectual property (IP) is a category of property that includes intangible creations of human intellect. There are many types of intellectual property, such as patents, copyrights and trademarks.

Techno genesis: The co-evolution between technical expertise and animate matter. Techno genesis is the way in which the interactions between technology and biology impact on our understanding of how nature exists.

4. Governance Structure

4.1 Bylaws Amendment Procedure

The Board of Trustees may, subject to approval by the Founders Board and King Faisal Foundation, amend this Charter and Bylaws at any regular meeting of the Board of Trustees, previous notice of the nature of any proposed amendment having been given to all members of the Board of Trustees at least thirty days before action thereon shall be taken, by a majority vote of those present, one-half the Trustees in office being required to constitute a quorum for this purpose.

4.2 The Board of Trustees

A. The Board of Trustees shall convene a minimum of once every four months during the academic year. The Chairman has the authority to call for additional meetings as necessary. A meeting cannot proceed unless at least two thirds of the members are present, including the Chairman or Vice Chairman, as well as the representative of the secretariat or their appointed representative. Decisions are made based on a majority vote among the attendees. In the event of a tie, the Chairman' s vote determines the outcome.
B. Whenever in the judgment of the presiding officer, a meeting of the Board, or of any committees thereof, cannot be convened soon enough to consider and act in a timely manner upon any matter of business that such presiding officer deems urgent, such a meeting may be duly called and held with some or all members participating by telephone conference call, or other electronic means that similarly permit the mutual exchange of information and the individual views of the participants. The regular quorum requirements shall apply to any such meeting, but those participating by telephone or other electronic means shall be included in the quorum count. Voting by proxy shall not be permitted at any Board or committee meeting of any kind. If a timely meeting of the Board or of a committee cannot be arranged, not even by telephone conference call

or other electronic means, then in lieu of a meeting, on any matter the Presiding officer deems urgent, he or she may direct that all members be polled individually by telephone and/or mail ballot, the outcome of such polling to be subject to subsequent ratification at a meeting.

C. Subject to the Law as well as the rules and regulations issued by the Council of University Affairs, the university board of trustees is responsible for the following tasks and duties:
    1. Approving and modifying the Basic System to ensure compliance with the systems and statutes in the Kingdom of Saudi Arabia.
    2. Planning administrative, financial, and academic policies.
    3. Governing the university, approving its vision, mission, and goals, and ensuring their achievement.
    4. Approving developmental plans.
    5. Nominating the President of the university and appointing Vice Presidents, Deans of colleges, and supporting Deanships.
    6. Nominating the Dean (in the independent college) and appointing the Vice Deans.
    7. Approving the statutes and internal regulations that govern academic, administrative, and financial affairs.
    8. Approving regulations that govern scholarships, training of teaching staff, and similar matters.
    9. Approving regulations that govern support for scientific research, innovation, authoring books, translation, and publication.
    10. Approving regulations that govern consultation and academic services.
    11. Approving investment and endowment policies, accepting donations, grants, and gifts that align with the goals of the higher education institution and comply with relevant regulations.
    12. Recommending the approval of study programs for scientific degrees granted by the higher education institution and submitting them to the General Secretariat.
    13. Approving financial compensation for study programs.
    14. Approving the formation of the Scientific Council.
    15. Recommending the approval of establishing colleges, institutes, scientific departments, and research centers, merging them, canceling them, or modifying their names, and submitting them to the General Secretariat.
    16. Approving the establishment of the Scientific Chairs
    17. Approving the establishment of advisory boards, identifying their specialties, and setting rules for their work.
    18. Approving cooperation agreements, scientific and technical agreements, and memoranda of understanding.
    19. Approving the social responsibility plan.
    20. Appointing one or more external auditors for the accounts of the higher education institution.
    21. Approving the annual report of the higher education institution and providing a copy to the owner and General Secretariat.
    22. Approving the final account of the higher education institution and submitting it to the owner.
    23. Recommending the approval of the annual budget for the higher education institution and submitting it to the owner.
    24. Reviewing matters referred to the Board of Trustees by its Chairman or any suggestion recommended by any of its members.
D. The Board of Trustees has the authority to delegate some of its responsibilities to its Chairman, who can form permanent or temporary committees from Board members or external to it.
E. The board of trustees shall, in coordination with the university president, select a university employee to serve as the board’s secretary. The secretary does not have the right to vote within the Board of Trustees and is not included in the count of attendees.
F. If the position of the chairman of the board of trustees, his deputy, or any board member becomes vacant, a replacement shall be appointed for the remainder of the term, in accordance with applicable procedures.

4.3 Principal Committees of the Board of Trustees

A. The Board may establish the following Principal Committees to assist the Board in the proper conduct of the business of the Board of Trustees, prescribe their powers, duties and responsibilities, the manner of appointing or electing their members, the term of their office, and bylaws governing the functioning and organization of said Committees. These are:

4.3.1 Executive Committee

A. The Executive Committee shall consist of the Chairman of the Board (or his designee from among members of the Board of Trustees), the President of the University, and two additional members of the Board appointed by the Chairman.
B. The Committee shall have authority to act on behalf of the Board of Trustees on all matters between Board meetings, except for those matters listed below, which shall be reserved for the Board. The Committee may, however, review and endorse measures on such matters for action by the Board. The matters reserved for the Board are:
    1. Presidential selection and termination.
    2. Amendments to the Charter or Bylaws.
    3. Election of Trustees, Officers, and Principal Committees.
    4. Determination of the University Mission and Objectives.
    5. Adding or discontinuing degrees, research, training, and technology commercialization programs.
    6. Faculty actions involving the award of contracts in the rank of professor.
    7. Incurring long-term indebtedness.
    8. Transfers and spending rates from endowment and similar funds.
    9. Capital projects over five million Saudi Riyals (SR 5,000,000).
    10. Conferral of degrees.
C. Subject to the final and overriding authority of the Board of Trustees, the Executive Committee shall have responsibility for reviewing and approving the annual budget, and for monitoring the financial performance of the University under the budget.
D. It shall receive reports from such other committees as may be constituted from time to time, and, on occasion, reports of the other Principal Committees, although they also report directly to the Board. The central purpose of the Executive Committee is to strengthen the Board's performance by helping it to function efficiently. The Committee shall oversee the Board's support of the President.
E. At meetings of the Executive Committee, a majority of the members shall constitute a quorum for the transaction of business. The Committee shall normally meet three to five times each year. The Executive Committee shall provide each Trustee, at or before each meeting of the Board, with a written report of actions taken since the prior Board meeting, for formal ratification by the Board.

4.3.2 Investment Committee

A. The Investment Committee shall consist of the Chairman of the. Board (or his designee from among members of the Board of Trustees), a Vice Chairman of the Board and the President of the University, and two additional members of the Board appointed by the Chairman.
B. The Committee shall be responsible for the investment and reinvestment of securities and other financial assets, if any, of the University; and it shall set guidelines for the management by the Treasurer of the current funds. The committee may engage one or more investment managers and/or advisors whose performance the Committee shall regularly monitor, and it may change such managers and/or advisors from time to time. It may also invest in suitable investment partnerships and in similar investment pools.
C. The Committee shall be diligent in seeking to provide for long-range preservation and growth of the funds under its care, and for appropriate return for the operating and capital expenditures of the University.
D. The Committee, assisted by the Treasurer, shall provide each Trustee, at or before each meeting of the Board, with a report of its actions taken since the prior meeting of the Board, including a summary statement of the funds under its care, and the performance of such investment managers and/or advisors as may have been under contract during such a period.

E. At meetings of the Investment Committee, a majority of the members shall constitute a quorum for the transaction of business. The Committee shall meet at least once each quarter.
F. At the call of the Chairman of the Board, the Executive and Investment Committees may meet jointly to consider and act on any matter that involves the responsibilities of both Committees. When so convened as a Joint Committee, six (6) members shall constitute a quorum for the transaction of business, provided that each Committee is represented by at least (3) members.

4.3.3 Audit Committee

A. The Audit Committee shall consist of the Chairman of the Board (or his designee from among members of the Board of Trustees), and four additional members of the Board appointed by the Chairman.
B. The Committee shall annually recommend to the Board of Trustees a firm of Certified Public Accountants for appointment as the University's Auditor for the fiscal year then in progress.
C. The Committee shall meet at least twice in each fiscal year with the Auditor and, as appropriate, the Treasurer and other University employees, to review the findings and recommendations of the Auditor. The Committee shall annually review the report of the Auditor on the financial condition and procedures of the University, as soon as may be convenient after the closing of the prior fiscal year and the completion of such an Auditor’s report, and the Committee shall report thereon to the Board of Trustees at its next meeting.
D. At meetings of the Audit Committee, a majority of the members shall constitute a quorum for the transaction of business.

4.4 Advisory Boards

4.4.1 International Advisory Board

An international advisory board may be formed at the university pursuant to a decision by the board of trustees. The board of trustees shall determine the powers and work procedures of the international advisory board.

4.4.2 Student Advisory Board

A student advisory board shall be formed at the university pursuant to a decision by the university council, to be chaired by one of the university vice-presidents. The university council shall determine the powers and work procedures of the student advisory board.

4.4.3 Faculty Advisory Board

A faculty advisory board shall be formed at the university pursuant to a decision by the university council, to be chaired by the university president or his designee. The university council shall determine the powers and work procedures of the faculty advisory board.

4.4.4 College Advisory Board

A College Advisory Board shall consist of 5-10 members representing academia, industry, and society stakeholders. The board will provide advice to college’s administrative officials about the currency and quality of the academic programs, facilitate the placement of graduates, and help enhance the reputation of the college and its programs. The board shall express opinions and recommendations on program improvement, establishment of new tracks/ programs, strategic directions of the college, and forging partnerships and agreements with other institutions.

A. The Chairman of the College Advisory Board is the Dean of the college and may appoint a Vice Dean or one of the Program Chairpersons to act as a Secretary of the Advisory Board.
B. The College Advisory Board should meet at least once per academic year.
C. All College Advisory Board meetings should be documented, and the meeting minutes need to be approved.
D. Special meetings may be called by the Secretary upon request of the Chairman of the Board.
E. The College Advisory Board shall concern itself with class size distribution, faculty development, industry-based management curricula, and delivery systems, use of technology, industrial ties for internships, and supportive infrastructures in research to create an environment of Techno genesis in their respective colleges.
F. Concentration areas shall include strategies, business plans, funding, external recognition, and industrial outreach through research centers, institutes, and cooperative education.

G. The Committee shall oversee the progress of their college, including faculty performance metrics, standards for hiring, and promotion, faculty contributions to competitive strategies, research contracts, graduate enrollment, and synergies with the other colleges of the University.
H. The Committee shall oversee mechanisms and systems to obtain and maintain the Ministry of Higher Education and other national and international accreditations.
I. The term of membership in the Advisory Board shall be two academic years, renewable thereafter.

4.5 Councils and Committees

4.5.1 The University Council

A. The University shall have a University Council with the following membership:
    1. University President (Chairman).
    2. The university's vice presidents, with the most senior among them as the vice chairman.
    3. Deans of colleges and supportive deanships.
    4. Three experienced, efficient, and specialized faculty members who possess expertise in university education. These individuals are nominated by the University Council, and their appointment decision is issued by the Board of Trustees for a period of three years, which can be renewed.
B. Subject to compliance with the Universities' Regulation from the Council of University Affairs and decisions of the Board of Trustees, the University Council shall have the right to manage and coordinate the university's academic programs and shall undertake the following tasks:
    1. Recommending the vision, mission, and goals, as well as the administrative, financial, and academic policies of the higher education institution and submitting them to the Board of Trustees.
    2. Approving the recruitment of faculty members.
    3. Approving admission policies, and standards, and determining student numbers based on available capacity.
    4. Recommending the approval of regulations governing faculty member scholarships, training, and their equivalents, and submitting them to the Board of Trustees.
    5. Recommending the approval of regulations governing scientific research support, innovation, authoring , translation, and publication, and submitting them to the Board of Trustees.
    6. Granting diplomas to graduating students.
    7. Recommending the approval of study programs for different degrees offered by the higher education institution and submitting them to the Board of Trustees.
    8. Approving the academic calendar details within the framework that sets the start and end of the academic year in Saudi Arabia.
    9. Suggesting financial compensation for study programs and submitting it to the Board of Trustees.
    10. Recommending the approval of the formation of the Scientific Council and submitting it to the Board of Trustees.
    11. Suggesting the establishment, merging, cancellation, or modification of colleges, institutes, scientific departments, and centers, and submitting it to the Board of Trustees.
    12. Approving the establishment of scientific chairs and submitting to the Board of Trustees.
    13. Recommending the approval of advisory councils, determining their specialties, and establishing their working regulations, and submitting them to the Board of Trustees.
    14. Recommending the approval of scientific and technical cooperation, memoranda of understanding between the higher education institution and local and international institutions, and submitting them to the Board of Trustees.
    15. Recommending the approval of the social responsibility plan.
    16. Approving the provision of services for faculty members in the private and public sectors and civil community institutions through sponsorship or recruitment
    17. Approving sabbatical and scientific communication for faculty members.
    18. Approving scientific promotions for faculty members based on the recommendation of the Scientific Council.
    19. Approving the issuance of journals and periodicals.

20. Approving students' activities plans.
21. Recommending the approval of the annual report for the higher education institution and submitting it to the Board of Trustees.
22. Recommending the approval of the final account for the higher education institution and submitting it to the Board of Trustees.
23. Suggesting the annual budget and submitting it to the Board of Trustees.
24. Reviewing matters referred by the Chairman or suggested by any of its members for discussion.

C. The Board of Trustees is authorized to delegate certain powers to its Chairman or the university council. However, it is a prerequisite that the university council remains informed about any decisions made under this delegation. The university council has the flexibility to establish both permanent and temporary committees, consisting of members from within or outside the university council, to thoroughly examine and address any assigned tasks.
D. The university council convenes at least once a month during the academic year, as called by its Chairman. The Chairman has the authority to call for a meeting when necessary, or if a written request is submitted by one-third of the members. For a meeting to be considered valid, it is required that at least one-third of the members, including either the Chairman or the Vice Chairman, are present. Decisions are made based on a majority vote among the attendees. In the event of a tie, the side that the Chairman votes with shall prevail.
E. The university council has the authority to appoint a Secretary from its members. This decision is made by the Council based on a nomination put forth by the Chairman of the Council. The appointed secretary serves for a period of three years, with the possibility of renewal.
F. The Secretary of the Council is responsible for various tasks related to the Council's meetings. These include preparing the agenda for each meeting, notifying the members about upcoming meetings, overseeing the recording of meeting minutes, and maintaining proper documentation of the minutes. Additionally, the Secretary sends the meeting agenda to the members in advance and receives their suggestions for the agenda items.

4.5.2 The Scientific Council

A. The formation of a scientific council at the university is contingent upon obtaining approval from the Board of Trustees.
B. The scientific council is established for a duration of three years, and its composition is as follows:
    1. The chairman of the council is responsible for overseeing scientific research at the university.
    2. Each college is represented by a member who holds a rank of at least associate professor.
    3. Three associate professors from external academic institutions or organizations are appointed as members of the council. These individuals are chosen from faculty members who are not affiliated with the university.
C. The board of trustees may approve adding two professors or associate professors for the university’s faculty members, and who have enough experience in scientific research. The representation for each college should not exceed two members.
D. The scientific council has a secretary who is selected from the university’s faculty members. The nomination for the secretary position is made by the chairman of the scientific council. The appointment of the secretary is approved by the President of the university and is valid for a period of three years, with the possibility of renewal. The secretary does not possess the right to vote during the council meetings and their presence does not contribute to meeting the attendance quorum.
E. The primary responsibilities of the Scientific Council include overseeing various aspects of the faculty members' scientific, research, study, and publication affairs. The Council places particular emphasis on the following areas:
    1. Recommending the approval of faculty member recruitment at the university.
    2. Recommending the approval of promotions for faculty members.
    3. Recommending the approval of sabbatical leaves, scientific communication, and academic participation of faculty members outside the university.
    4. Providing suggestions for regulations that govern scholarships, training opportunities, and similar programs for faculty members.

5. Offering suggestions for policies that foster scientific research, innovation, authorship, translation, and publication.
6. Studying matters referred to it by the University Council.

F. The Council has the authority to establish Committees composed of its own members or individuals from outside the Council to assist in carrying out its tasks and responsibilities.
G. The Scientific Council convenes at the discretion of its Chairman or any member representing the Chairman. Meetings are held when there is a need, upon a written request from at least one-third of the members, or if the President specifically requests it. The President has the authority to include additional topics on the meeting agenda and assumes the role of Chairman of the Council if present.
H. For a meeting to proceed, it is required that at least two-thirds of the Council members are in attendance, including either the chairman or a representative designated by the Chairman.
I. Decisions within the Scientific Council are reached through a voting process, with the majority of votes from the attendees determining the outcome. In the event of a tie, the side that the chairman votes with shall prevail.
J. Once decisions are reached, they are considered valid and enforceable unless the President of the university raises an objection within a twenty-day period from the date of receipt. If an objection is received, the President returns the decisions to the Chairman of the Scientific Council, accompanied by their viewpoint, for further review.
K. In situations where a higher education institution does not have its own Scientific Council, it may seek assistance from a Scientific Council located within another university inside the Kingdom. This arrangement is made possible through an agreement between the two parties involved.
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4.5.3 College Councils

A. The Chairman of the Council is the Dean of the college and the Council consists of the following members:
   1. Vice Deans, with one of them serving as the Secretary of the Council.
   2. Heads of scientific departments within the college or institute.
B. The President of the university has the authority to appoint up to three faculty members from within the college or institute to serve on the Council.
C. The President may appoint up to two external individuals from outside the college, provided that they possess sufficient expertise in the relevant fields of study within the college. The nominations for these external members should be put forth by the Council of the respective college. The term for these members is two years, with the possibility of renewal.
D. The Council of the college also has the option to invite suitable students to attend Council sessions and participate in discussions related to students' affairs.
E. The primary responsibility of the college council is to oversee the scientific and administrative affairs within the college. The Council has the authority to delegate some of its powers to the Chairman of the Council.
F. The Council has the ability to establish Committees composed of its own members or individuals from outside the Council to look into tasks assigned by the Council.
G. The Council convenes regularly, at least once a month during the academic year, based on the Chairman's call. For a meeting to proceed, a minimum of one-third of the Council members, including the Chairman or their designated representative, must be in attendance. Decisions are reached through a voting process, with the majority of votes from the attendees determining the outcome. In the event of a tie, the side that the Chairman votes with shall prevail.
H. The decisions made by the Council are considered valid and enforceable unless the President of the university raises an objection within a twenty-day period from the date of receipt. If an objection is raised, the President returns the decisions to the Chairman of the Scientific Council, along with their viewpoint, for further review. If the Council members persist in their opinion, the disputed decisions are referred to the university's Council for discussion during the next regular or exceptional session. The Council of the university has the authority to approve, modify, or cancel these decisions, and its decision will be final.

I. The College Council will advise the dean on the educational and administrative affairs of the college.

4.5.4 Department Councils

A. Each scientific department is required to have its own Council, which includes a chairman (head) who serves as the Chairman of the Council. The members of the Council are comprised of the faculty members within that specific department.
B. In certain circumstances, the President of the university has the authority to add additional faculty members from other departments. These additions are made based on the nominations provided by the Dean of the college.
C. The department Council has a specialized role in managing the scientific and administrative affairs specific to the department it represents. The Council is responsible for forming committees from its members or others to look into matters assigned to them by the council.
D. The Council convenes regularly, at least once a month during the academic year, based on the chairman's call. For a meeting to proceed, a minimum of one-third of the Council members, including the chairman or their designated representative, must be in attendance. Decisions are reached through a voting process, with the majority of votes from the attendees determining the outcome. In the event of a tie, the side that the chairman votes with shall prevail.
E. The decisions made by the Council are considered valid and enforceable unless the Dean of the college raises an objection within a seven-day period from the date of receipt. If an objection is raised, the chairman returns the decisions to the Chairman of the Scientific Council, along with their viewpoint, for further review. If the council maintains its position, the disputed decisions are referred to the Council of the respective college or the University Council for a final decision.
F. The department/council chair shall determine the authority and breadth of responsibility of the department council and the manner of its performance.
G. Subject to compliance with the Universities' Regulation from the Council of University Affairs and decisions of the Board of Trustees, the University Council and the relevant College Council, the department/council chair may convene a department council to consider:
    1. Appointment of faculty, staff, and assistants.
    2. Adjustments to academic plans.
    3. Curricula, textbooks, and reference books.
    4. Research issues including the publication of research results.
    5. Student issues of departmental nature.
    6. Faculty sabbatical-leave proposals.
    7. Proposals from faculty to attend professional conferences.
    8. Dealing with faculty development issues.

4.5.5 Research & Graduate Studies Council

A. The Research & Graduate Studies Council (RGC), which is chaired by the Vice President for Research & Graduate Studies, is responsible for safeguarding the excellence of research and graduate education. The Office of Research & Graduate Studies (ORG) is the administrative arm of the Council and is empowered on its behalf to enforce its regulations and policies. The Council membership consists of two faculty members from each of the different colleges nominated by their respective Deans within the institution. The duties and functions of the RGC consist of the following:
    1. The Research & Graduate Studies Council sets the policies and standards for graduate admission, and degrees in coordination with the Colleges.
    2. The Council reviews established degree programs and proposals for new fields of study or degrees; establishes qualifications and policies for Graduate Student Teaching Assistants and Graduate Student Research Assistants; responds to issues referred to it by the Vice President, the President's Office, and the Deans, and participates in reviews of existing graduate programs.
    3. Propose internal regulations, in coordination with academic departments and Student Affairs, for the organization of graduate studies.

4. Propose, implement and supervise admission criteria into graduate studies.
5. Study and recommend new programs for endorsement and coordinate them with current ones.
6. Recommend graduate courses for approval, amendment and modification.
7. Recommend titles of graduate degrees in both Arabic and English on recommendation of colleges' councils.
8. Periodically assess graduate programs at the university through specialized committees from inside or outside the university.
9. Study matters forwarded to it for consultation by the University Council, the Council of Deans or President's Office and offer suggestions and advice.

4.5.6 Committee on Promotions

A. This Committee is chaired by the President or his designate, and composed of four full professors, one elected by each College, and two additional faculty members appointed by the President at the rank of associate professor or higher. It evaluates candidates for promotion who have been approved by the various college departments and deans.

4.5.7 Standing Committee for Graduate Studies

A. This committee is chaired by the Vice-President for Research and Graduate Studies with the following membership:
   1. Five deans of university colleges that offer graduate programs, considering the diversity of colleges' specializations.
   2. Dean of Development and Quality at the university.
   3. Dean, director, or head of Graduate Studies, who shall be the secretary of the committee.
   4. Three members who are experienced and specialized in graduate studies from inside or outside the university.

B. The members specified in Clauses (1) and (4) above are appointed by a decision of the University Council upon the University President's nomination for a two-year term that is renewable.

C. Without prejudice to the provisions of the Regulation on Graduate Studies Issued by the Council of Universities' Affairs, the Standing Committee shall undertake the following tasks:
   1. Proposing the general policy for graduate studies at the university and supervising its implementation after approval by the University Council.
   2. Recommending the approval of the admission requirements for graduate studies programs and updating them upon the request of the councils of competent departments and colleges.
   3. Supervising joint graduate programs.
   4. Recommending the approval and amendment of graduate studies programs, after studying and refereeing, to the University Council based on a proposal from the Department Council, and endorsement of the proposal by the College Council.
   5. Recommending the approval of study plans and detailed standards to the University Council, based on a proposal from the Department Council and endorsement by the College Council in accordance with international benchmarks and comparisons.
   6. Proposing standards for graduate studies programs for approval by the University Council.
   7. Proposing the rules regulating the evaluation of graduate studies programs for approval by the University Council.
   8. Supervising the evaluation of graduate studies programs at the university on a regular basis, through specialized committees or bodies inside or outside the university.
   9. Reviewing the comprehensive report prepared by the Office of Graduate Studies on the graduate studies programs at the university and the results of evaluating those programs and submitting them to the University Council.
   10. Recommending the approval of the college councils' proposals regarding graduate studies programs that are compatible with the community's needs, the Kingdom's plans and visions, and global trends, for approval by the University Council.

11. Supporting proposals for determining academic degrees and certificates and their names in both Arabic and English, based on the proposals of Department and College Councils.
12. Recommending the numbers of students who can be accepted each academic year in the graduate studies programs to the University Council, based on a proposal from the councils of the competent departments and the approval of the College Councils.
13. Suggesting the guidelines for forming supervisory committees and thesis defense committees.
14. Setting general frameworks and standards for comprehensive exam and graduation research.
15. Setting the overall framework for research plans and the rules governing writing, printing, producing, and submitting thesis; preparing forms for the thesis defense committee reports; and evaluating thesis.
16. Studying periodic reports related to graduate studies that are submitted by the academic departments at the university.
17. Proposing the offering of graduate studies programs outside the university premises and submitting this to the University Council to take what it deems appropriate.
18. Recommending the approval of the colleges' proposals regarding development initiatives related to graduate studies in order to develop the university's financial resources.
19. Recommending the determination of the fees for applying to graduate programs, the tuition fees for the programs, and the fees for support services related to graduate studies, based on the proposals of the Department and College Councils.
20. Recommending the allocation of scholarships for students, in full or in part, in accordance with the regulations approved by the University Council.
21. Recommending the termination or suspension of graduate studies programs that do not comply with quality standards or with the university's strategy.
22. Reviewing the referrals made by the Chair of the Standing Committee, the University President, or the University Council in order to provide its opinion. The Committee may delegate some of its authorities to its Chair, and it may also form standing or temporary committees from among its members or others to study what they are asked to do.

D. The Standing Committee shall meet upon a call by its Chair at least once a month, and the meeting shall only be valid if attended by at least two-thirds of its members, including the Chair or whomever he deputizes from among the members of the Committee. The Committee's decisions are issued by a majority vote of the members present. In case of a tie, the Chair of the meeting shall have the casting vote. The decisions of the Standing Committee shall be effective unless contested by the University President within fifteen days from the date of receipt. If contested, they shall be returned with the University President's comments to the Standing Committee. If the Standing Committee maintains its position, the disputed decisions shall be referred to the University Council to be decided in its first ordinary or extraordinary meeting. The University Council may ratify, amend, or cancel the decisions. The decision of the University Council on this is final. The Chair of the Standing Committee may invite whomever he deems necessary to attend some of the Standing Committee meetings in a non-voting capacity.

4.5.8 Awards Committee

A. This is a committee of senior faculty members, with one member elected by each College. It advises the President on the Distinguished Awards for Teaching, Research, and Advising. The Committee will establish its own procedures for receiving nominations from the colleges.

4.5.9 University Hiring Committee

A. The University Hiring Committee was established to advise the President on issues relating to faculty hiring and retention. Its membership includes:
    1. Vice President for Academic Affairs or President's Representative (Chairman).
    2. Vice President for Research and Graduate Studies or Representative.
    3. The Dean of Student Affairs.
    4. Director of Accreditation and Quality Assurance.
    5. At the President discretion, other members may be involved in the UHC deliberations.

6. Representatives of the Colleges and other experts will be invited as required.

B. To maintain the Alfaisal competitive edge in the education market, it is necessary to continually review hiring policies to ensure that the university has the best faculty that are available. Therefore, the Committee is charged with the following duties:
   1. To continually carry out comparisons of Alfaisal University employment and remuneration polices with those existing in other universities both in Saudi Arabia and abroad.
   2. To review current faculty qualifications and teaching experience in view of the findings of the comparative study.
   3. To advise the President on policies that, within medium term, might remedy any deficiencies revealed by the study.
   4. To maintain a recruitment policy that will enhance the quality of faculty at Alfaisal University.
   5. To review proposed faculty appointments by colleges.

4.5.10 Undergraduate Curriculum Committee

A. The Undergraduate Curriculum Committee is the central curriculum committee of the University responsible for the development of academic policies and the review and approval of programs. The Committee reports its findings to the President and the University Council. Its membership includes:
   1. Vice President for Academic Affairs or President's Representative (Chairman).
   2. Vice President for Research and Graduate Studies or Representative.
   3. Director of Accreditation and Quality Assurance
   4. One representative from each College

B. The Committee is responsible for:
   1. The development and review of academic policies
   2. Approval of academic programs
   3. To review published guidelines for students and faculty members which detail the University's information on programs and courses, degrees offered and graduation requirements, admission requirements and procedures, costs and refund policies, and rules and regulations directly affecting students.

4.5.11 University Facilities Committee

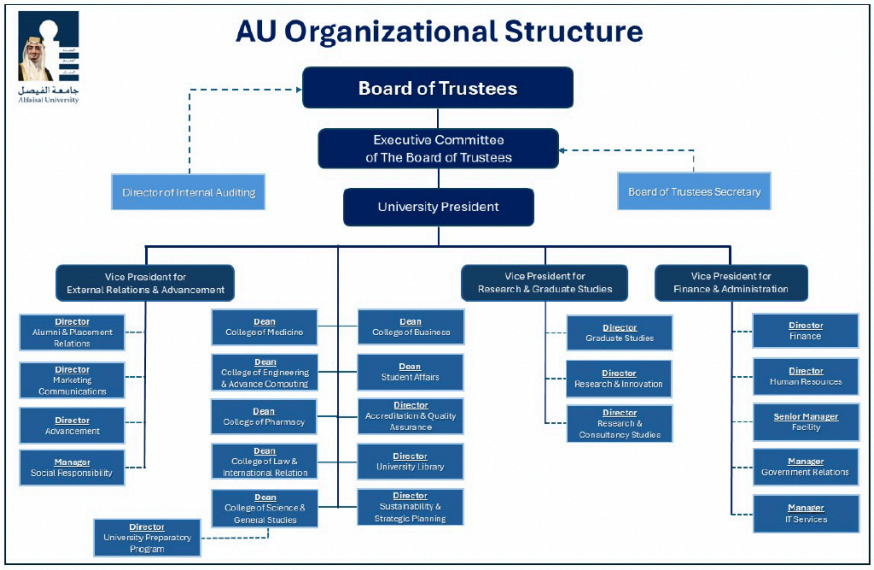
A. The University Facilities Committee shall oversee all aspects of maintenance, new construction and renovation from planning to completion.
B. Concentration areas shall include ongoing refurbishing, space utilization and maintenance.
C. Other focus areas shall include tracking costs and timetables of all new construction and renovation projects; improved performance for on-time and on-budget campus projects; annual review/update of a capital projects list and capital projects completed; integration of the campus; and oversight of the condition of plant, parking facilities, athletic fields and campus landscaping.

4.5.12 University Digital Committee

A. The University Digital Committee will oversee the following:
   1. Develop and implement the university's long-term digital transformation strategy, ensuring alignment with the institution's vision and goals.
   2. Evaluate and recommend the adoption of new technologies for academic, administrative, and research purposes ensuring they enhance teaching, learning, and operational efficiency
   3. Monitor and enforce cybersecurity policies and data privacy standards to safeguard the university's digital assets and sensitive information.
   4. Review and guide decisions regarding the university's IT infrastructure, including networking, cloud services, and hardware upgrades, ensuring it meets the growing needs of the institution.

4.6 Organizational Structure

An organization Structure is a chart describing the reporting relationships and the formal arrangement of work positions within an organization. It identifies and shows divisions of work, supervisory relationships, communication channels, major subunits, and levels of management who make up the University.



4.7 Executive Officers of The University

4.7.1 President

A. The appointment of the President of the university is made through a decision by the Chairman of the university's Board of Trustees and approved by the Minister.
B. The appointed President of the university should meet the following criteria:
    1. Possess appropriate scientific qualifications and expertise.
    2. Have prior experience in academic, administrative, and leadership roles.
    3. Be fully committed and dedicated to the position without any other conflicting commitments.
    4. Not have any ownership stake in the university.
C. Considering the roles and responsibilities of the Board of Trustees and University Council, the President of the university holds the following key accountabilities:
    1. Overseeing the university's academic, financial, and administrative affairs.
    2. Ensuring compliance with the university's Statutes, rules, and decisions made by the Board of Trustees and other University Councils.
    3. Presenting an annual report on the university's performance to the Board of Trustees after discussion at the University Council. This report includes key performance indicators (KPIs), scientific research outcomes, and the university's community service and other activities.
    4. Nominating Vice Presidents, Deans of colleges, and Deans of supporting Deanships.
    5. Representing the university in interactions with external institutions.
    6. Appointing Vice-Deans for colleges and supporting Deanships, department heads, and directors of scientific and research centers.
    7. Raise funds for the endowment and for building programs of the University.
    8. Execute such other duties and responsibilities as may be delegated by the Board of Trustees to the President.

D. The President has the authority to delegate some of their responsibilities to Vice Presidents or appropriate university employees, based on their areas of expertise. Delegation should be done in writing, specifying a defined timeframe. The President has the discretion to establish Committees as necessary.
E. The President of the university is responsible for appointing one or more Vice Presidents, with their specific number determined by a decision from the Board of Trustees. The appointment is initially for a three-year term and can be renewed.
F. The Vice President(s) should possess the following qualifications:
    1. Sufficient academic experience.
    2. Previous roles in academic, administrative, and leadership positions.
    3. Full commitment and dedication to the Vice President position without any conflicting commitments.
    4. Not being one of the owners of the university.
G. The Vice Presidents assist the President of the University in managing its affairs, and the most senior of them replaces the President of the University in the event of his absence or vacancy.

4.7.2 Vice President for Finance and Administration

A. The Vice President for Finance and Administration is appointed by and reports directly to the President and performs duties assigned by the President.
B. He is the Chief Financial Officer of the University.
C. His responsibilities include serving as Treasurer of the Board of Trustees.
D. The Departments of Human Resources, Finance and Accounting, Information Technology, Government Relations, and Facilities report to the Vice President for Finance and Administration.

4.7.3 Vice President for External Relations

A. The Vice President for External Relations is a member of the executive management team and reports directly to the President. The Vice President has responsibility for the strategic planning and management of the University's marketing, public relations, branding, publications, media relations, fundraising, advocacy, and outreach.
B. The Departments of Public Relations and Marketing, Alumni and Placement Relations, and Advancement report to The Vice President for External Relations

4.7.4 Vice President of Research and Graduate Studies

A. The Vice President for Research and Graduate Studies chairs the Office of Research and oversees the development of graduate studies in the various Colleges.
B. Reporting to the President, he is responsible for the management and promotion of research activities that are carried out by the academic departments through external or internal funding.
C. In addition, he is responsible for the Business Accelerator (Dimensions), the Technology Transfer Office (TTO), and the Business Center, and chairs the University Scientific Council and Research and Graduate Council.

4.7.5 Dean of Student Affairs

A. The Dean for Student Affairs chairs the Offices of Undergraduate Admissions, Enrolment Services, Scholarships, and Student Activities. Reporting to the President, he has responsibility for recruiting, admitting, providing financial aid for undergraduates, registering students, recording grades, maintaining permanent student records, transcript evaluation of transfer students, and maintenance of a database and permanent files of students.
B. Student Affairs also is responsible for extra-curricular activities, student counseling and advising, cooperative and summer training programs, and student housing.

4.7.6 Director of the Library

A. The Director of the Library chairs the University Libraries and reports to the President.

B. He is responsible for providing leadership in the development and fulfilment of the library mission and vision, as well as strategic goals and objectives, which support and extend those of the university.
C. Serves on various university governance bodies, including the University Council and other standing and university-wide committees.

4.7.7 Director of Accreditation and Quality Assurance

A. The Director of Accreditation and Quality Assurance is a member of the executive management team and reports directly to the President.
B. He chairs the Department of Accreditation and Quality Assurance and oversees the development of accreditation planning and implementation.
C. The director is responsible for obtaining and maintaining institutional accreditation.
D. He also assists all colleges and their respective programs in obtaining national and international accreditation.

4.7.8 College Deans

A. Each college, at the university must have a dean who is a full-time faculty member appointed by the Board of Trustees, based on the nomination of the university President. The initial appointment is for a period of two years and can be renewed.
B. The appointed Dean should meet the following criteria:
    1. Possess sufficient academic experience.
    2. Be available and dedicated exclusively to the position of Dean.
    3. Not be one of the owners.
C. The Academic Deans report directly to the President.
D. The Dean undertakes managing the scientific, educational and administrative affairs of the college according to this Statute and the decisions made by the Board of Trustees.
E. The dean of each college is responsible for the development and quality of the instructional and research programs within the college and its departments, centers, and institutes.
F. The Dean chairs the College Council and may convene an advisory group to assist in carrying out decanal responsibilities.
G. Deans oversee all the activities of the departments in their respective colleges.
H. Deans shall, at the end of each academic year, submit a college annual report to the University President, providing an overview of the college's activities and accomplishments throughout the year.

4.8 College Vice Deans, Department Chairs, and Program Directors

Each college or deanship at the university should have at least one Vice Dean who is selected from the faculty members. The appointment of the Vice Dean is initially for a period of two years and can be renewed. The Vice Dean assists the Dean in their duties. In the absence of the Dean or in the event o f a vacant position, the most senior Vice Dean assumes the role of the Dean.

4.8.1 Vice Dean for Academic Affairs

A. The Vice Dean of Academic Affairs oversees the academic programs at the college.
B. The main tasks include:
    1. Coordination with different stakeholders, including students, to finalize the semester schedule and allocation of faculty to courses
    2. Implementation of the academic policies relevant to the undergraduate programs and internship (e.g. attendance, probations, academic integrity make-up exams, etc.)
    3. Playing an active role in student advising and taking initiatives that improve the learning experience of students; process student appeals (grade appeal, academic misconduct, and student complaints).
    4. Working with the college's leadership to assess the relevance and currency of the undergraduate curriculum and identify areas of improvement as aspired by the college and University mission.

4.8.2 Vice Dean for Research & Graduate Studies

A. The Vice Dean for Research & Graduate Studies oversees academic programs at the graduate level of the college, as well as the overall research portfolio.
B. In graduate programs, on the strategic side, deals with the curriculum, its revisions, benchmarking, and establishing new graduate programs.
C. On the operational side, the main tasks include coordination with different stakeholders, including students, finalizing semester schedules and exams, as well as allocation of faculty to courses, and implementation of the academic policies relevant to graduate programs and research.

4.8.3 Vice Dean for Accreditation and Quality Assurance

A. The Vice Dean for Accreditation and Quality Assurance oversees, manages, and fosters accreditation and quality assurance operations at the college level.
B. They are responsible for ensuring the quality of educational programs within the college and acquiring and upholding program accreditation.
C. The Vice Dean works with all departments to collect and maintain data and information related to accreditation and quality assurance at the college level.
D. They also coordinate with the Office of Accreditation and Quality Assurance at the university level to ensure compliance with accreditation standards and to maintain the quality of education across the institution.
E. This position requires strong leadership, organizational skills, and an understanding of accreditation processes and quality assurance principles.

4.8.4 Department Chair

A. The position of the Chair of Department should be filled by an exceptional faculty member known for their scientific and administrative capabilities. The appointment is made by the university President upon the recommendation of college dean for a period of two years, renewable thereafter. In the event of a vacancy in the position of Chair of Department, the Dean of the college assumes the responsibilities temporarily until a new Chair is appointed. The appointment of a new Chair of Department should be completed within a maximum period of four months.
B. The Chair of the Department is responsible for overseeing the strategic and operational aspects of the department overseeing and managing the department's scientific, research, administrative, and educational affairs in accordance with the established rules and regulations, as well as the decisions made by the College Council and the University Council.
C. The Chair’s primary duties include developing and implementing teaching plans, establishing a conducive research environment, meeting degree program requirements, encouraging professional growth, and aligning resources with faculty expertise.
D. The chair plays a pivotal role in ensuring departmental decisions support the broader goals of the Department, College, and University.
E. Additionally, the chair is required to submit an annual report to the Dean, providing an overview of the department's activities and accomplishments throughout the year.

4.8.5 Program Director

A. The Program Director is a faculty member assigned by the Dean to oversee the administrative aspects of the program within the college. The Chair of Department may act as the Program Director.
B. Program Director provides leadership to the program and oversees all aspects of the program development, curriculum, evaluation, and scheduling.
C. In departments with one program, the Chair of Department can serve as the Program Director.
D. The Program Director is also responsible for student recruitment and retention, and in fostering relationships with the community to promote program growth.

E. In concert with department chairs, the director is responsible for the management of the program faculty, ensuring adequate coverage for course offerings, conducting faculty search; and providing feedback on tenure/promotion/rank decisions when appropriate.

4.9 Faculty and Staff Classification

A. Faculty members shall consist of:
    1. Professors.
    2. Associate professors.
    3. Assistant professors.
B. The qualifications of the faculty shall be determined by the President, with the approval of the Board of Trustees.
C. When necessary, and by the decision of the College Dean, the Affiliate/Adjunct Faculty may be appointed for a limited period based on the proposal of the Department Council.
D. Other teaching staff include the following:
    1. Senior Lecturers
    2. Lecturers
    3. Instructors.
    4. Teaching and Research Assistants.

5. Intellectual Property

A. The Intellectual Property Policy of Alfaisal University encourages inventors to innovate by guaranteeing them a share in the benefits resulting from the Intellectual Property that they develop. At the same time, it also promotes research and education activities at Alfaisal by allowing the University to retain a share of the benefits flowing from all Intellectual Property developed under its auspices.
B. The primary categories of Intellectual Property are patent, copyright, trademark, and integrated circuit mask work protection, though from time-to-time other types of protection and other bodies of law may also fall under the broad chairing of Intellectual Property. Intellectual Property rights govern the ownership, licensing, distribution, and commercialization of Intellectual Property.
C. This policy describes the rights and responsibilities of all the members of the Alfaisal community—faculty, students, and staff--in all Intellectual Property developments, as well as the rights and responsibilities of the University itself. Specifically, it describes policies concerning the ownership, licensing, distribution, and commercial development of Intellectual Property that inventors conceive, invent, develop, or use.

5.1 Ownership of Intellectual Property

5.1.1 Inventor-Owned Intellectual Property

A. Inventors retain full ownership rights to Intellectual Property provided that the following two conditions are met:
    1. Intellectual Property is not subject to sponsored research or other agreements requiring ownership to reside in some other party including Alfaisal University.
    2. Intellectual Property was not conceived, created, developed, or first reduced to practice with significant use of Alfaisal University support, and as a direct result of the inventor’s duties at the University.
B. Inventors may choose to use inventor-owned Intellectual Property in their research work at Alfaisal University. An inventor who chooses to do so, however, must grant Alfaisal a free, permanent, irrevocable license for use of that Intellectual Property for the University’s educational and research activities.

5.1.2 University-Owned Intellectual Property

A. Alfaisal University retains full ownership rights to:
    1. Intellectual Property subject to the terms of sponsored research or other agreement that grants Alfaisal rights of ownership; or

2. Intellectual Property whose conception, creation, development or first reduction to practice involved significant use of university support directly resulted from the inventor's University duties.

5.1.3 Ownership of Instructional Works

A. For purposes of this policy, the term "Instructional Works" covers all materials developed for pedagogical purposes, including Course Materials, Courses, Courseware or any combination thereof.
B. Course Materials include copyrightable fixed expressions of ideas, resources, content, and/or information-like works that may be used as the basis of a course. In keeping with academic tradition and without regard to the medium of expression, Alfaisal treats Course Materials as exempted scholarly works, which are presumed to be owned by the author. As such, unless the work is subject to contractual restrictions or is a "work made for hire," Alfaisal does not claim copyright ownership of course materials.
C. A Course is a comprehensive set of works that has been developed and combined to create a presentable program of study. Courses often transcend a single faculty member's design, to engage institutional authority. As such, Alfaisal owns all courses developed for teaching at the University. The use within a course of course materials or other exempted scholarly works, standing alone, shall not deprive inventors of their ownership of such materials.
D. Courseware includes works that can act as tools or devices in the task of creating, managing, presenting and/or publishing course materials to produce a Course. Courseware may be patentable, non-patentable, copyrightable or otherwise protectable.

5.1.4 Ownership of Textbooks, Theses, and Other Exempted Scholarly Works

A. In keeping with longstanding academic tradition, Alfaisal will grant to the inventor all of the rights in such scholarly or artistic works that copyright law would otherwise give Alfaisal unless a written agreement provides otherwise.

5.1.5 Ownership of Intellectual Property Financed By Outside Sponsors

A. Alfaisal will retain title to all Alfaisal-owned Intellectual Property including, but not limited to, that which is conceived, created, developed or first reduced to practice in the course of Alfaisal research or other sponsored activities funded by third parties, including private persons, businesses, non-profit entities, and governmental agencies unless there is a written agreement between Alfaisal and the inventor to the contrary.

5.1.6 Intellectual Property and Conflict of Interest

A. Alfaisal University personnel engaged in consulting work with third parties are responsible for ensuring that their consulting agreements do not conflict with these Intellectual Property policies.

5.1.7 Ownership, Control, and Transfer of Tangible Research Property

A. Alfaisal shall own any and all tangible research property that an inventor conceives, creates, makes, develops, or first reduces to practice, in whole or in part, during or pursuant to his or her employment, participation in Alfaisal programs, or significant use of Alfaisal support. Any transfer of such materials to outside parties, or any transfer from outside parties to Alfaisal facilities must have the advance approval of the Office of Research.

5.2 Intellectual Property reporting, evaluation, protection, and commercialization

5.2.1 Disclosures

A. The inventor should carefully evaluate the Intellectual Property that he/she has created at Alfaisal to determine whether or not that Intellectual Property has commercial or other value. If it does, for the protection of the interests of the inventor and Alfaisal, every inventor is obligated to disclose all Intellectual

Property that he/she has created at Alfaisal. All individuals, faculty, staff, and students who participated in the creation of the Intellectual Property should be identified, and all such inventors have the right to share in the inventor portion of any revenues or rights that are returned by the university.

B. The Office of Research is the primary contact for the inventor about disclosure of Intellectual Property; it is responsible for protecting, marketing, negotiating and licensing Alfaisal Intellectual Property. The inventor must submit a complete disclosure form to the Office of Research within 60 days of the creation/invention and before notifying outside parties, including sponsors. The Office will then determine whether the technology is appropriate for commercialization and/or protection. The decision to protect, develop, market and/or commercialize any Alfaisal Intellectual Property is at Alfaisals' sole discretion.

5.2.2 Commercialization of Inventor-Owned Intellectual Property

A. Inventors may request that Alfaisal pursue the commercial development of Intellectual Property owned by the inventor. The Office of Research will evaluate the commercial potential of any Intellectual Property and determine whether Alfaisal will accept it for licensing. If Alfaisal decides to pursue commercialization, the inventor will be required to assign his/her ownership of the Intellectual Property to Alfaisal. The terms of such an assignment will be negotiated between the University and the inventor.

5.2.3 Transfer of University-owned Intellectual Property to Inventors

A. If Alfaisal chooses to waive its rights in disclosed Intellectual Property, and to grant those rights to the inventor, the inventor may protect the Intellectual Property as he, she, or they may wish. If external funds supported the work leading to the Intellectual Property, this waiver is subject to any provisions in the sponsoring agreement. For example, under current U.S. federal law, if Alfaisal waives its rights in Intellectual Property conceived or reduced to practice with federal funding, the federal funding agency, rather than the inventor, becomes the assignee. The inventor may then petition the agency for the license rights in such cases.

5.3 Intellectual Property Revenue

5.3.1 Distribution of Income from Intellectual Property

A. The Office of Research will calculate and distribute the net adjusted income from each Intellectual Property license or licensing related transaction according to the formula "Net Adjusted Income = gross revenue, minus current and reasonable projected expenses that Alfaisal deems necessary to defend or maintain the Intellectual Property." Net Adjusted Income shall be distributed as follows:
    1. Inventor - 50%
    2. Inventor's Department and/or Center – 15%
    3. Inventor's College - 10%
    4. University - 25%

B. Distribution of net adjusted income will occur on a semi-annual basis.

5.3.2 Distribution of Net Equity Income Received from Intellectual Property

A. Alfaisal may elect to accept equity in lieu of cash payments, licensing fees, royalties, or other considerations. The decision whether to accept equity and, if so, precisely when to liquidate such equity, is at the sole discretion of Alfaisal.

5.3.3 Revenue from Instructional Works

A. Inventors involved in the development of Instructional Works will share, when appropriate, Intellectual Property revenue generated from external use and distribution via licensing, assignment, and licensing-related transactions of such materials.

6. Consulting and Conflict of Interest

6.1 Consulting: Limitations and Reporting Requirements

A. Consulting and other services to outside organizations, including industry and government, often constitute very desirable activities for the faculty. These services can provide a mechanism for enriching the professional experience of faculty members, thereby broadening their backgrounds for teaching and scholarly research. The University also has a responsibility to help in the transformation of results of research into products, services, and processes that will become available in the marketplace. In many instances, affecting such a transfer requires active participation of faculty members as advisors or consultants.
B. Faculty members who wish to engage in consulting or other service to outside organizations must report this in advance to the chair of the department and the dean of their respective college and obtain their approval. The report should describe the nature and terms of the outside employment. Such requests for approval of outside employment must be made on an annual basis and will not be unreasonable withheld.

6.2 Conflicts of Commitment

A. Conflicts of commitment may arise when there are competing demands upon the time and energy of a faculty member as a result of outside activities and interests. These outside activities could interfere with the faculty member's ability to meet his responsibilities to the University. Alfaisal University expects that faculty members' outside activities and interests will not interfere with their ability to meet their primary obligations to the University.
B. Specific universal standards for defining the proper balance are not feasible, but experience indicates that full-time faculty members have difficulty meeting their primary obligations if they spend more than the equivalent of one day a week on outside activities.

6.3 Conflict of Interest

A. Conflicts of interest may arise when a faculty member's personal interests interfere with his/her responsibility to the University.
B. The key factors in avoiding ethical and legal conflict of interest are personal responsibility and integrity.
C. Alfaisal University expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the University.
D. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and the department chair and college dean.
E. Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the University.
F. Faculty members with the authority to commit University funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds.
G. Only in special cases may University equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the department chair and Dean or the applicable Vice President.

7. Grievances and Employment Issues

7.1 Retirement

A. In accordance with the labor laws of the Kingdom of Saudi Arabia, the normal retirement age at Alfaisal University is 60. However, if there is a significant need for his/her services, the President can extend a faculty member's service until age 65.
B. Saudi nationals on the faculty may apply for early retirement after 20 years of service at the University. Retirement benefits for Saudi faculty members are governed by the Saudi Labor law.

7.2 Termination Prior to End of Contract

A. The University may terminate the appointment of a member of the faculty for cause without notice or payment in lieu thereof:

1. If the faculty member is guilty of dishonesty, gross personal or professional misconduct, or willful neglect of duty.
2. If the faculty member shows disrespect for the local culture.
3. If the faculty member is convicted of a criminal offense.
4. If- after adequate warning notice has been issued – the faculty member fails to attend diligently to his duties as determined by the department chair.
5. If the faculty member is absent without authorization for more than one week immediately following home leave.
6. If a faculty member starts his/her contract in the middle of a semester and resigns before completing all academic requirements pertaining to courses in his/her primary contract or in the middle of a semester, the university is not obliged to pay salaries and benefits for the remaining portion of the contractual year but just for the semester he/she completes. The university is also not obliged to pay for complete repatriation costs and salary payments during the summer months. The university will in this circumstance only pay a one-way ticket to the home country to the faculty member and official dependents as per university policies and procedures.
7. For any continued material breach of the terms of appointment.

7.3 Grievances

7.3.1 Definitions and Coverage

A. Grievance:
A grievance is a complaint in writing made to an administrative officer of the University concerning a decision, made by a person or group of persons acting in an official University capacity that directly or adversely affects the grievant as an individual in his or her professional academic capacity. Grievance does not include dissatisfaction with a University policy of general application challenged on the ground that the policy is unfair or inadvisable.

B. Coverage:
A grievance may be filed and any member of the Faculty or Academic Staff-Teaching or Academic Staff-Research at Alfaisal University hereunder may utilize the appeal procedure.

C. Absence of President:
In the absence of a duly appointed President at Alfaisal University, the Chairman of the Faculty Development Committee of the Board of Trustees of the University shall act in the capacity of the President under these Grievance Procedures.

7.3.2 Grievance Structure

A. The Grievance Structure consists of an Administrative Structure.
B. The Administrative Structure includes, in order and as applicable, the following administrative officers of the University: chair of the administrative unit; department chair; dean of school, and President.
C. The President shall devise a set of standing rules of procedure which will govern proceedings for the filing and appeal of grievances in the Administrative Structure, provided that:
    1. The set of standing rules of procedure, and any amendments thereof, shall be valid upon promulgation.
    2. The rules shall provide that any communication or material solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that such communication or material may be revealed to any person(s) consulted by the administrative officer for guidance on that grievance.

8. HR Policies and Regulations

8.1 HR Principles

A. Fairness and respect: treating faculty and staff with respect and fairness.
B. Employer of choice: including the proper ingredients of pay, benefits, and financial benefits.

C. Shared responsibility: with everyone having some authority and accountability.
D. Stability: job security and organizational loyalty.
E. Supportive environment: including encouragement and resource availability.
F. Orientation: a planned orientation for all employees.
G. Performance culture: performance is much more important than entitlement.
H. Team processes: to make key personnel decisions to ensure fairness.
I. People appreciation: invest in and care for all people at Alfaisal University.
J. Live the principles: all staff, faculty, researchers, and administrators live these people principles.

8.2 Obligations

8.2.1 University Obligations

A. Treat its employees with dignity, respect and fairness at all times.
B. Provide its employees with a safe, healthy and comfortable work environment.
C. Provide its employees with all the resources and tools required for successful performance of their assigned work responsibilities.
D. Provide employees with promotion and development opportunities based on staff members' interests and capabilities and University's business plans and objectives.
E. Be fair, ethical, and honest in all business operations.
F. Provide open and positive communication of University's policies, guidelines, benefits, and employment practices.
G. Provide training and development opportunities to its employees to enhance their skills and competencies to maximize their performance.

8.2.2 Staff Obligations

A. Conduct oneself in accordance with the generally accepted customs of his one's profession.
B. Abide by the laws, policies, regulations and traditions of the Kingdom of Saudi Arabia as long as he lives within it. While living in the kingdom.
C. Maintain the highest standards of courtesy and service.
D. Fulfil their work obligations to the best of their abilities.
E. Behave towards colleagues, superiors and subordinates with courtesy and consideration, in accordance with the Alfaisal University's values, code of conduct illustrated in this handbook.
F. Take all required and reasonable steps to protect their own safety, the safety of colleagues, students, customers and members of the public, and the safety and security of university property and facilities.
G. Decline any material outside gifts or benefits in the course of their work offered by suppliers or partners. Token gifts of appreciation are acceptable.

9. Research Misconduct

This section outlines the conditions that protect and encourage the faculty in its scholarly pursuits.

A. The University requires that those engaged in scholarship work to be dedicated to the highest ethical standards. Misconduct in scholarship by any member of the university community threatens the university as well as the individual. The policies set forth here apply to all faculty members and provide for an objective examination of pertinent facts, protection of individual rights, and integration with other relevant review procedures, all under the general supervision of the President/President as the senior academic administrator.
B. Scholarly misconduct includes fabrication, falsification, plagiarism, inappropriate allocation of authorship credit, or other serious deviation from accepted practices in proposing, carrying out, or reporting technical results and expenditure of funds from research, educational or other scholarly activities; or retaliation of any

kind against a person who has not acted in bad faith and who reported or provided information about suspected or alleged misconduct; or failure to comply with regulatory requirements affecting specific aspects of the conduct of research, e.g., the protection of human subjects and the welfare of laboratory animals.

C. Scholarly Misconduct does not include honest errors or honest differences in interpretations or judgments of scholarly matters. If the alleged misconduct is not substantiated, the University will undertake diligent efforts to restore the reputation of those under investigation. Should either the inquiry or the investigation shows that the allegations of misconduct were not made in good faith, those making the allegations will themselves be subject to disciplinary action.

D. Decisions regarding alleged misconduct procedures should yield a just decision based on the best and most complete information available. Any decisions should be based on the expert judgment of individuals qualified in the respective scientific field, using scientific interpretations and standards of proof, with a minimum of procedural complications. At the same time, however, the process must be fair and afford all parties an equal chance to present their best arguments. The confidentiality of all parties in a dispute must be preserved to an extent consistent with the University's obligations to research sponsors and to the scientific community. Acrimony and recrimination are undesirable, so adversarial interactions should be avoided. The process should move speedily, yet haste and error must be avoided.

E. Guided by these principles, Alfaisal University has established a policy with four procedural stages. In the screening stage an accusation of research misconduct is brought to the Vice President for Research & Graduate Studies who will examine the charges to ensure they are potential violations of the misconduct policy and, if so, to pass the case along to an Inquiry Panel. The inquiry stage evaluates the merits of the case, determining whether there is sufficient evidence of misconduct to merit a full investigation. The investigation stage entails a detailed examination of the case to resolve the facts ("Was this or was this not an instance of misconduct?"). Ascertaining whether or not misconduct occurred is a judgment about collegial conduct that should be resolved on its merits. If at any stage in the process it becomes evident that there was no misconduct, vigorous efforts must be made to minimize and remedy any adverse consequences for the respondent's career and reputation. If misconduct is established, then the case is referred to the disciplinary stage.