

# POLICIES, PROCEDURES AND REGULATIONS MANUAL

2019 - 2020

## **AUD Mission:**

The Mission of the American University in Dubai is to serve as a culturally diverse learning community committed to the pursuit of knowledge through excellence in teaching and scholarly and creative endeavor, leading to students' academic, personal and professional success, as well as the advancement of society.

The Policies, Procedures and Regulations Manual (PPRM) contains all institutional policies that provide individual and organizational guidance in line with the university's mission, goals and values. This edition of the PPRM supersedes all previous editions, and the policies included within are applicable to all employees and organizational units.

The PPRM serves as the primary reference document for all institutional operations, business conduct, and academic affairs. Accordingly, related university publications, such as the *Faculty Handbook*, *Student Handbook*, and *Personnel Policies and Procedures Manual* are published to augment the provisions of this manual. All organizational documents contained within these various publications must remain consistent with the approved policies as included in this manual.

The manual contains all policies that have been approved by either the Academic Council or the Administrative Council, or both as applicable. Any changes and exceptions to these policies require the approval of either of these councils, as applicable. The PPRM's regular update and publication is managed by the Office of Institutional Effectiveness under guidance from the Office of the President.

We are making this manual available to all members of the AUD community to serve as a guide for organizational effectiveness and the development of professional norms based on best practices and standards.

For questions or clarifications, please contact the Office of Institutional Effectiveness at [ied@aud.edu](mailto:ied@aud.edu).

**May 2019**

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<b>CURRICULUM APPROVAL AND REVISION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	April 30, 2019

## **POLICY AC A-01**

### **PURPOSE**

University curriculum is the province of the faculty. The purpose of this policy is to establish the process for approval and revision of the university curriculum, consisting of all academic programs, majors, concentrations, and certificate programs.

### **POLICY**

All new programs, concentrations, certificates, and all changes to existing program, concentrations, and certificates must be ratified by the Provost and Chief Academic Officer upon approval by the University Curriculum Committee (UCC).

### **PROCEDURE**

AUD's University Curriculum Committee (UCC) receives and reviews academic units' proposals for curriculum changes. Examples of proposed changes reviewed by the UCC include changes in course names, numbers and descriptions, addition of new courses, deletion of existing courses, changes in prerequisites, introduction of the cross listing of both new and existing courses, introduction of new majors/concentrations or degree programs, and discontinuation of existing majors/concentrations or degree programs.

The UCC is composed of the academic unit heads. The UCC elects one of the academic unit heads as UCC Chair. If an academic unit head is unable to attend a UCC meeting, a designated faculty member from the same academic unit must attend in his/her place.

Curriculum change proposals approved by the UCC are submitted to the Provost and Chief Academic Officer for immediate ratification by the Academic Council according to the UCC By-laws available in the offices of the Provost and Chief Academic Officer and Institutional Effectiveness. AUD President submits new program proposals to AUD Governing Board. The Board may be consulted on substantive program revisions. All proposals sent to the UCC must first have passed through each respective school's/department's curriculum committee, thus ensuring appropriate faculty authorship/involvement.

## AUD Curriculum Approval Process



With regard to some courses offered by the School of Arts and Sciences, the curriculum committee having primary jurisdiction resides in another School/Department and the curriculum committee whose input must be sought before going to the UCC may be Arts and Sciences or another School/Department. The chart below summarizes these relationships:

### ***Curriculum Responsibility for Selected Arts and sciences Courses that Are Required for Completion of Degree Programs Offered by Other Academic Units***

<i>Course Code</i>	<i>Course Title</i>	<i>Curriculum Committee that has primary jurisdiction</i>	<i>Curriculum Committee(s) whose input must be obtained before going to UCC</i>
ARTS 200	History of Art I	Arts and Sciences	Interior Design; Visual Communication
ARTS 201	History of Art II	Arts and Sciences	Visual Communication



ARTS 203	Artistic Forms of Expression	Arts and Sciences	None
ART 215	Multicultural Art Forms	Arts and Sciences	None
MEST 329	Islamic Art and Architecture	Arts and Sciences	None
BIOL 201	Principles of Biology	School of Engineering	Arts and Sciences
CHEM 201	General Chemistry	School of Engineering	Arts and Sciences
COMP 101	Introduction to Computers	Arts and Sciences	None
COMP 103	The Internet	Arts and Sciences	None
MATH 101	Mathematics for the Arts	Arts and Sciences	Interior Design; Visual Communication
MATH 200	Mathematics with Business Applications	Arts and Sciences	School of Business Administration
MATH 110	Pre-Calculus	Arts and Sciences	None
MATH 105	Pre-Calculus for Architecture	Architecture	Arts and Sciences
MATH 205	Calculus for Architecture	Architecture	Arts and Sciences
MATH 210	Calculus I	School of Engineering	None
MATH 220	Calculus II	School of Engineering	None
MATH 230	Linear Algebra and Complex Variables	School of Engineering	None
MATH 231	Differential Equations	School of Engineering	None
MATH 240	Multivariable Calculus	School of Engineering	None
PHIL 222	Professional Ethics	Arts and Sciences	School of Engineering
PHYS 201	Introductory Physics I	School of Engineering	Arts and Sciences
PHYS 202	Introductory Physics II	School of Engineering	None
VCDM 305	Art and the Electronic Age	Visual Communication	None

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Table	Changed from Liberal Arts to Arts and Sciences
November 2018	Table	Updated table to reflect revised process

<b>STUDENT RECORDS ACCESS AND RELEASE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	May 2018

## **POLICY AC A-02**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for the access and release of records containing information on students.

### **POLICY**

The integrity and confidentiality of student record information is one of the highest priorities of the university. AUD practices the standard of developing and implementing effective management systems that ensure integrity, confidentiality, security and accurate interpretation of institutional records. [Note: AUD upholds the commitment to respect and protect the privacy of student information according to AUD policy and the Family Educational Rights and Privacy Act (FERPA) of 1974].

- Each student attending AUD shall have the right to inspect and review the contents of his/her education records, including grades, records of attendance and other information. Parents are not entitled to inspect and review financial records of their students. Parental access to a student's records will be allowed without prior consent if the student is a dependent.
- A student's education records are defined as files, materials, or documents including those in electronic format that contain information directly related to the student and are maintained by the institution. Access to a student's education records is afforded to school officials who have a legitimate educational interest in the records, such as for purposes of recording grades, attendance, advising, and determining financial aid eligibility.
- Students may request a review of their education records by submitting a written request to the Provost. The review will be allowed during regular school hours under appropriate supervision. Students may also obtain copies of their education records for a nominal charge.
- Students may request that the institution amend any of their education records, if they believe the record contains information that is inaccurate, misleading or in violation of their privacy rights. The request for change must be made in writing and delivered to the Registrar with the reason for the requested change stated fully. Grades and course evaluations can be challenged only on the grounds that they are improperly recorded. The instructor or staff member involved will review the request, if necessary, meet with the student, and then determine whether to retain, change, or delete the disputed data. If a student requests a further review, the Provost will conduct a hearing, giving the student a full and fair opportunity to present evidence relevant to the disputed issues. The student will be notified of the Provost's decision. Copies of student challenges and

any written explanations regarding the contents of the student's record will be retained as part of the student's permanent record.

- Directory information is information on a student that the university may release to third parties without the consent of the student. AUD has defined directory information as the student's name, home address, telephone number, e-mail address, birth date and place, program undertaken, dates of attendance, credential awarded. If a student does not want some or all of his or her directory information to be released to third parties without his/her consent, the student must present such a request in writing to the Registrar within 10 days after the date of the student's initial enrollment.

The written consent of the student is required before personally identifiable information from education records on that student may be released to a third party, except for those disclosures referenced above, disclosures to accrediting commissions and government agencies, and other disclosures permitted by law. All students are requested to complete the Release Form as part of the admission process.

- A student who believes that AUD has violated his or her rights concerning the release of or access to his or her records may file a complaint with the University's Grievance Officer or the UAE Ministry of Education in Dubai: Phone +971-4-2994100, Email [ccc.moe@moe.gov.ae](mailto:ccc.moe@moe.gov.ae) (MOE Call Center)

**Interpretation:** Registrar

**Ownership:** President

**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
11 Feb 2018	Sections 3 and 4	Removed all references to title "Chief Academic Officer", as it's is no longer in use
11 Feb 2018	Section 7	Corrected Zip Code information for US Department of Education.
May 2018	Policy	Removed reference to US Department of Education, and replaced it with UAE MOE and the University's Grievance Officer

HEALTH SERVICE POLICY	
Effective Date	Fall 2008
Date of Last Update	January 2019

## POLICY AC A-03

### PURPOSE

The purpose of this policy is to establish the rules for medical care, confidentiality, and mandatory health insurance for students.

### POLICY

#### Medical Insurance

Private health insurance covering care in the UAE is mandatory for all AUD students except UAE nationals. In order to meet this requirement by enrolling in the AUD-sponsored health insurance plan, students are charged a non-refundable fee on their Fall semester bill covering the period September 1 through August 31.

For this fee to be waived, students are required to provide evidence of currently valid private health insurance covering care in the UAE (Original Insurance Card) to the Finance Office. The deadline is the last day of the Drop/Add Fall semester period (see AUD Academic Calendar).

Failure to provide this evidence before the deadline will result in cancellation of the option to waive the health insurance coverage and associated fee.

#### Health History

AUD prides itself in offering quality health services. To maintain those standards and fully address the health and medical needs of our students, the AUD Health Center requires that all AUD students submit the Student Health History Form (available at the AUD Health Center) to the Health Center. This Form must be endorsed by a physician.

#### Student of Determination (Special Needs)

In order to benefit from special accommodations, it is the responsibility of the student, with special medical condition, to contact the Health Center to discuss disability related needs in detail.

#### Confidentiality

All health information is confidential. Disclosure by the Health Center is on as-needed basis. Any release for other purposes requires the explicit consent of the student. All student medical records are kept under a locked filing system.

**Interpretation:** Director, Health Center

**Ownership:** President

**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 2019	Special Needs	Information added as it is part of Health Center responsibilities
January 2019	Confidentiality	Information added – Separate paragraph

<b>CONDUCT INTERGRITY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-04**

### **PURPOSE**

The purpose of this policy is to provide describe the rules for good behavior and citizenship at AUD and to define the sanctions for violation of the code of conduct.

### **POLICY (CODE OF CONDUCT)**

AUD is an academic community committed to the educational and personal growth of its students. Behavior that infringes upon rights, safety or privileges or that impedes the educational process is unacceptable and may lead to sanctions up to and including dismissal from the university.

Students who have been suspended or dismissed from the university due to conduct violations are not permitted access to AUD, which includes campus visits, attending classes, participating in teaching/learning activities, using campus facilities (unless special permission is granted from the Dean of Student Affairs), living in student housing, and/or participating in student clubs, activities, and athletics. Attendance at events open to the public is permitted. Exceptions are only at the initiative of the university or on occasions in which students schedule an appointment with university faculty/staff.

### **DEFINITIONS**

#### **Offenses Related to the Operation of the University**

An offense related to the operation of the university is committed when a student:

- engages in obscene, offensive, indecent, or unacceptable conduct on university property or at university sponsored events;
- forges, alters, possesses, duplicates, or uses documents, records, keys, or identification without consent or the authorization of appropriate university officials;
- fails without just cause to comply with the lawful order of a university official acting in the lawful performance of his or her duties and authority in all university activities including athletic tournaments and university sponsored events;
- damages the reputation of The American University in Dubai through unacceptable actions or behaviors on campus or in the community;
- brings unauthorized visitors onto campus;
- disobeys AUD rules governing the use of its facilities;
- disrupts or interferes with any university event, program, class or facility;
- fails to produce and/or surrender AUD student identification to university official upon request;

- engages in forgery, alteration, or unauthorized use of AUD's documents, forms, records, ID cards or withholding/failing to provide required information in connection with admission to AUD or status at AUD;
- engages in solicitation in or on university property, unless such solicitation is approved by appropriate university officials; or intentionally acts to impair, interfere with, or obstruct the orderly conduct, processes, and functions of the university.

### **Offenses Related to Persons**

An offense related to a person is committed when a student:

- intentionally or knowingly and without authority or consent, limits or restricts the freedom of a person to move about in a lawful manner;
- impersonates another student with or without the intent to obtain confidential information about the other student;
- behaves violently or excessively disturbs other groups or individuals;
- threatens (by any means), intimidates, coerces or uses physical force in a manner that endangers the health or safety of another person, creates a hostile environment, or which reasonably causes another person to be fearful of physical or emotional harm or abuse; or
- intentionally harasses or stalks another person. Harassment includes,

### **Offenses Related to Property**

An offense related to property is committed when a student:

- knowingly and without consent or authorization possesses, removes, uses, misappropriates, or sells the property or services of another person or of the university;
- intentionally or negligently damages, vandalizes, or destroys property owned or in the possession of another person or of the university, such as library books, computers, etc.;
- defrauds or procures money, services or materials from the university or persons under false pretenses;
- obtains the property of another person or university by misrepresentation or deceptive means;
- enters or uses the facilities or property of another person or the university without consent or authorization;
- breaches of one of AUD's policies governing the computer network; or
- litters on campus property.

### **Offenses Related to Welfare, Health or Safety**

An offense related to welfare, health, or safety is committed when a student:

- uses, possesses, or manufactures, without university authorization, firearms, explosives, weapons, unregistered fireworks, or other dangerous articles or substances potentially injurious to persons or property;
- falsely reports a fire, activates emergency warning equipment, or communicates false information regarding the existence of explosives on university property;
- abuses, removes, or damages fire and safety equipment;
- fails to vacate a building or facility when a fire alarm is activated;
- fails to leave a building, street, walk, driveway or other facilities of the university when directed to do so by an official of the university having just cause to so order;
- uses, possesses, distributes, sells, or is under the influence of alcohol, narcotics, hallucinogens, dangerous drugs, or controlled substances, except as permitted by law.

### **Offenses Related to Offensive Material**

AUD's professional environment requires that all students respect the following policy concerning offensive materials:

- AUD's computer resources must not be used to produce, view, store, replicate, or transmit harassing, obscene, or offensive materials. This includes, but is not limited to, material from the Internet and screen savers. In addition, printed copies of such material, including those from magazines are not permitted in the school;
- As in the workplace, there is "zero-tolerance" for any students who violate this policy, and immediate dismissal may result. Personal opinions as to what constitutes "offensive material" may vary, but the following describes what is typically understood to be offensive. Staff or students using AUD facilities who find materials being displayed to be offensive have a duty to act assertively by informing the Dean of Student Affairs.

Offensive material includes, but is not limited to the following:

- pornographic, nude, semi-nude or other similarly lewd images;
- material displaying excessively violent or graphic content;
- material of racist or sexist or similarly demeaning content; or
- any material that in general is understood to be socially and/or culturally offensive.

### **Offenses Related to Unlawful Harassment**

AUD strives to promote a productive environment based upon respectful treatment of all staff, faculty, and students. AUD is committed to providing an environment that is free from physical, psychological, or verbal harassment. All students, employees, and applicants, as well as contractors, vendors, clients, and customers, have the right to be educated in or work for an organization free of any type of harassment, including sexual harassment.



Harassment can occur as a result of a single incident or a pattern of behavior the purpose or effect of which is to create a hostile, offensive, or intimidating environment. AUD will not tolerate conduct that harasses, disrupts, or interferes with the learning or work performance or which creates an intimidating, offensive, or hostile work environment. Harassment encompasses a broad range of physical or verbal behavior. Offenses related to harassment include, but are not limited to:

- repeated abusive or demeaning conduct or language based on a person's race, gender, sexual orientation, color, religion, national origin, physical or other disability, age, political beliefs or affiliations, or veteran or socioeconomic status;
- verbal comments; physical comments; mail, email, or phone calls, graffiti, or the display of offensive material; unwanted sexual attention of a persistent or abusive nature; or sexually-oriented remarks, jokes, comments and/or behavior.
- unwelcome sexual advances or touching;
- a display in the university facility of sexually suggestive behavior, objects, pictures, drawings, or cartoons;
- a display in the university facility of racially or culturally offensive objects, pictures, drawings, or cartoons;
- physical assault; and
- any request for sexual favors or activities used as a condition for the evaluation of performance, including grades, and/or behavior which may reasonably be perceived to create a negative psychological or emotional environment for learning in or using facilities; or an implied or expressed threat or reprisal for rejecting a sexual solicitation or advance.

AUD has **zero tolerance** for harassment of any kind. AUD prohibits any form of harassment by students, employees, co-workers, outside vendors, contractors, clients, supervisors and managers, and views such actions very seriously. Harassment and other unacceptable activities that could influence acceptance to the university, employment or personnel decisions, or would create a hostile work environment are specifically prohibited. Any member of the AUD community engaging in such harassment or other unacceptable activities is subject to immediate disciplinary action, up to and including discharge from employment or dismissal from the university.

If any student believes that he or she has been the subject of harassment or if any student is aware of or witnesses a situation that he or she believes to be based upon or involving harassment, the student must report the matter immediately to the Dean of Student Affairs. Any such reports will be immediately and thoroughly investigated. Investigations will be conducted, to the extent possible, maintaining the confidentiality of all concerned parties. Students are expected to and required to cooperate with any investigation. In no case should any student allow improper conduct to go unreported.

AUD prohibits and will not tolerate any coercion, intimidation, retaliation, interference, or discrimination against a student for reporting harassment, for filing a complaint of harassment, or for assisting in any investigation of a harassment claim. No adverse action of any type will

be taken against a student for bringing a complaint in good faith under this policy. A student or employee who is found, after appropriate investigation, to have engaged in inappropriate behavior or the unlawful harassment of another student or employee, will be subject to disciplinary action, up to and including dismissal. In addition, any student or employee who is found, after appropriate investigation, to have made an intentionally false allegation of harassment will likewise be subject to disciplinary action, up to and including dismissal. All students are responsible for helping the university ensure that all types of harassment are prevented at AUD.

### **Violation of Conduct**

Students are expected to conduct themselves with an exemplary level of maturity. All violations of AUD's Code of Conduct are taken very seriously and are dealt with fairly and judiciously. Certain conduct violations are subject to the university's Conduct Council.

**Mediation:** An avenue by which people in conflict can attempt to state their views, express their feelings, work through their issues, and arrive at a solution that is agreeable to all parties. Mediation is facilitated by an impartial mediator (Dean of Student Affairs) who helps the parties identify needs and interests in a situation, and possible solutions for the future. Mediation follows a standard procedure and includes only the Dean of Student Affairs and the persons having difficulties. The Dean of Student Affairs first explains mediation. Following this, all parties give their views of the incident in question. When each party is speaking, all others are expected to respect the other person's right to speak. Following the presentation by each member, the Dean of Student Affairs provides a summative statement and asks all parties to state what they feel should happen for the situation to be resolved. Once all parties have come to an agreement, the Dean of Student Affairs records the conclusion. The conclusion is sent in written format to all concerned parties. In some cases, all parties will be asked to sign an agreement of mediation. The agreement of mediation is placed in the files of the parties involved in the dispute. Unsuccessful mediation may be referred to a Conduct Council.

### **Standard List of Conduct Violations with Accompanying Disciplinary Actions**

Mediation by the Dean of Student Affairs will often resolve a conduct issue. This may involve issuance of a Disciplinary Verbal Reprimand. The Dean, in consultation with the President, may judge that the conduct violation warrants dismissal or the calling of a Conduct Council. The following summarizes possible violations, indicating those that require convening a Conduct Council (unless waived by the student) and the options for disciplinary action by the Dean of Student Affairs (in consultation with the President) or Council. Violations, which – if proven – require dismissal, are also indicated:

<b>Conduct violation</b>	<b>Possible disciplinary action(s) to be taken by the conduct council (if convened)</b>
Inappropriate Conduct on Campus – Level 1	Disciplinary Written Warning Disciplinary Probation
Inappropriate Conduct on Campus – Level 2	Disciplinary Written Warning Disciplinary Probation Suspension Dismissal
Inappropriate Conduct off Campus – Level 1	Disciplinary Written Warning Disciplinary Probation
Inappropriate Conduct off Campus – Level 2	Disciplinary Written Warning Disciplinary Probation Suspension Dismissal
Public Display of Affection – Level 1	Disciplinary Written Warning Disciplinary Probation
Public Display of Affection – Level 2	Suspension Dismissal
Inappropriate class behavior	Disciplinary Written Warning Disciplinary Probation Suspension Dismissal
Vandalism	Disciplinary Written Warning Disciplinary Probation Replacement or Reimbursement Suspension Dismissal
Dress Code Violation	Disciplinary Written Warning Disciplinary Probation Dismissal
Smoking Violation	Disciplinary Written Warning Disciplinary Probation Dismissal
Theft	Dismissal
Forgery	Dismissal
Possession of Alcohol or Drugs on Campus	Dismissal
Gambling	Dismissal

## Notes

Inappropriate Conduct on Campus Level 1: Behavior that violates U.A.E. norms, practices, laws, beliefs and expectations of personal conduct. This includes “public” (i.e., anywhere on campus) displays of affection.

Inappropriate Conduct on Campus Level 2: Behavior that is extreme in nature, offensive and violate universal practices, laws, beliefs, and expectations of university student conduct. This includes “public” (i.e., anywhere on campus) displays of affection.

Inappropriate Conduct off Campus Level 1: Behavior that violates U.A.E. norms, practices, laws, beliefs and expectations of personal conduct. This includes at athletic tournaments, AUD sponsored activities, workshops, etc.

Inappropriate Conduct off Campus Level 2: Behavior that is extreme in nature, offensive and violate universal practices, laws, beliefs, and expectations of university student conduct. This includes at athletic tournaments, AUD sponsored activities, workshops, etc.

## Listing of Penalties

**Verbal Warning:** May be given to a student whose conduct violates any aspect of *AUD’s Code of Conduct*. Such a reprimand does not necessarily restrict the student in any way but does signify that he or she has been given the opportunity to conduct him or herself in a more appropriate manner and that any further violation will result in additional disciplinary action. A record of the reprimand will be placed in the student’s file in the office of the Dean of Student Affairs.

**Written Warning:** An official written statement to a student indicating that his or her behavior is of such a nature that further disciplinary action may be necessary. A written warning becomes a permanent part of a student’s academic record.

**Disciplinary Probation:** Requires a student to be closely monitored for a certain period of time. Any further violation of the *Code of Conduct* during this time period will result in a more severe penalty, which may include dismissal from the university.

**Restitution (Reimbursement or Replacement):** Damage to university property may require a student to pay actual repair or replacement costs. Failure to pay will result in a Conduct Registration Hold, Transcript Hold and/or additional disciplinary actions. Registration and/or Transcript Hold prevents the student from registering for the next semester or prohibit him or her from obtaining a transcript until he or she reimburses the university the costs of the damage.

***Suspension:*** Requires a student to be separated from the university for a specific period of time and may include certain conditions that must be completed before the student is eligible to return.

***Dismissal:*** Constitutes permanent removal from the university, without the possibility of readmission.

The Dean of Student Affairs, after consultation with other administrators within the university, reserves the right to recommend other forms of disciplinary action that are appropriate for the violation. Any disciplinary action recommended by the Dean of Student Affairs is effective immediately unless otherwise stipulated. Such actions may include:

***Campus Access Restriction:*** Depending upon the severity of the case and the assigned penalty, students may be restricted from accessing campus resources, which includes but is not limited to: campus events, campus facilities,

***Volunteer Work:*** A student may be required to complete a certain number of service hours on campus, commensurate with the initial penalty. This will be negotiated, approved, and monitored by the Dean of Student Affairs in consultation with offices/departments in need of volunteers.

***Campus Housing:*** Students residing on campus may be subject to losing their housing privileges for a specified period of time, or permanently depending upon the nature of the case and the assigned penalty.

## **Conduct Council**

The Conduct Council is a committee of academics, administrative staff, and students, which serves to investigate alleged breaches of the AUD Conduct Code, determine culpability, and prescribe penalty. The Council operates on an ad hoc basis under the chairmanship of the Dean of Student Affairs. The Conduct Council adjudicates issues of conduct related offenses; recommends disciplinary sanctions designed to fit the nature of the offense; increases understanding of university rules and regulations; and helps students transform inappropriate and unacceptable behavior.

## **Procedures**

- A faculty member, administrator, staff member or student who has reason to believe that a violation of the Conduct Code has been committed by one or more students must notify the Dean of Student Affairs in writing;
- The Dean of Students will investigate and gather evidence relevant to the case and listen to student testimonies. The Dean of Student Affairs reserves the right to consult with the Director of Central Services, Security Office, the Housing Manager, the

Executive Vice President and/or the President for recommendations in determining disciplinary actions;

- Based on this investigation, the Dean of Student Affairs or his or her designee decides whether the evidence warrants further action through either a Conduct Council or a standard disciplinary sanction;
- Students who receive a disciplinary sanction of disciplinary probation or dismissal have the right to appeal their case to the President of the university. The President of the university reserves the right to convene a Conduct Council if necessary to further investigate the case. Students have the right to waive their right to appeal before the Conduct Council by completing an appropriate form;
- If it is deemed necessary, the Dean of Student Affairs or his or her designee notifies the President in writing whether or not the evidence warrants convening a Conduct Council;
- The Dean of Student Affairs or his or her designee then selects two faculty members and one administrative staff to serve on the Conduct Council. The Dean or Department Chair also informs the SGA Judicial Affairs Representative. Either the SGA Judicial Affairs Representative or the Dean contacts the student representatives; and
- If there is a case for convening a Conduct Council, the Dean of Student Affairs or his or her designee notifies in writing the student(s) suspected of committing the violation of the date, time and place of the Conduct Council's meeting.

#### **Notification to a Student's AUD Email Address of Record is Considered Official**

- The Conduct Council reserves the right to take adequate time to schedule and conduct its proceedings. These proceedings will include interviewing the student(s) involved and, if required, calling witnesses to testify and conducting a follow-up investigation prior to reaching a decision on the innocence or guilt of the student(s) involved and, in the latter case, deciding appropriate disciplinary measures;
- The Conduct Council must inform the student(s) involved in writing of the alleged violation of the Conduct Council and of the verdict reached and disciplinary measures decided by the Conduct Council. The letter to the student(s) must be dated and signed by the Chair of the Conduct Council, and a copy must be sent to the President, Executive Vice President, Director of Central Services, the Registrar, the Chief Financial Officer (if the student is dismissed from the university), and the Housing Manager (if the student is dismissed from the dormitories);
- Before any final disciplinary action may be taken against the student(s) for violation of the Conduct Code, the student(s) is/are entitled to have 72 hours (three working days)

to appeal the Conduct Council's verdict to the President. The AUD Grievance Officer is available to guide the student through the appeal process;

- The President will respond to the appeal in writing. A copy of the President's dated and signed response to the student(s) will be sent to the Chair of the Conduct Council.
- The President has the right to overturn the Conduct Council's verdict or suggest a reconvening of the Conduct Council to reexamine the case. In exceptional cases, the President will inform the Chair of the Conduct Council in writing of the decision to overturn the verdict and the reasons behind this decision; and
- A student can waive the right to appear before the Honor or Conduct Council. The student should complete a Waiver of the Right to Appear Before Conduct or Honor Council available through the office of the Dean of Student Affairs and the office of Provost/Chief Academic Officer.

### **Hearing**

- At the start of each Conduct Council, the Chair informs all members of the confidentiality of the case and their obligation to uphold complete confidentiality throughout the university community;
- The Chair presents a short overview of the case. The overview should contain all information and evidence pertinent to the case including evidence such as videotape and physical evidence. The Council may request experts from the university community in the case that the evidence is too technical or difficult for the Council to comprehend;
- The suspected student must appear at the scheduled hearing unless he/she has completed a Waiver of the Right to Appear before Conduct or Honor Council. If the student encounters an unforeseen emergency, he/she must present acceptable documentation supporting the emergency;
- The Council may also call in witnesses if it is felt that their presence and testimony will provide information pertinent to the case. Character witnesses are not permitted nor are friends or family members of the suspected violator. All witnesses have a responsibility to truthfully provide information related to the case;
- The Council will then individually question the suspected violator and witnesses involved with the case. During this period, all members of the Conduct Council are free to question the suspected violator and the witnesses;
- At the start of the Council, the Chair asks the suspected violator if he/she understands the suspected violation and how he/she wishes to plea. All evidence will be shared with the suspected violator;

- Following the testimony provided by the suspected violator and witnesses, the Council will deliberate and come to a conclusion regarding the case. The conclusion will also include a recommendation of a suitable sanction/ punishment. All members of the Council will vote on the matter;
- The Chair will then compose a letter to the suspected violator informing him or her of the decision of the Conduct Council and its recommendation. This letter will be shared with all faculty/administrative members of the Council to ensure accuracy and proper wording. If approved by members of the Council, the letter will be sent to the student with copies also going to members of the Conduct Council, the President, the Executive Vice President, the Director of Central Services, the Registrar, the Housing Manager (if the student is a dorm student), and the Chief Financial Officer (if needed, should the student be dismissed). The outcome of the decision will be communicated to all relevant parties; and
- All letters will be kept in the student's permanent file in the Registrar's Office.

### **Appeal**

Students who wish to appeal the decision of the Conduct Council have 72 hours (three working days)\* from receipt of the decision letter to complete their appeal. All appeals must be submitted electronically to the President.

The granting of appeals is rare. Appeals may be granted if the Conduct Council penalty was inappropriate based upon the severity of the violation, new evidence becomes available, the case was mishandled, and/or a decision was made without the testimony of the suspected violator(s) in the case of a documented emergency.

The President will respond to students' appeals in writing. A copy of the President's dated and signed response to the student(s) will be sent to the Chair of the Conduct Council. The President has the right to overturn the Conduct Council's verdict or suggest a reconvening of the council, to reexamine the case. In exceptional cases, the President will inform the Chair of the Conduct Council in writing of the decision to overturn the verdict and the reasons behind the decision.

\*Holidays and extended periods during which the university is closed (such as Eid holiday, the year-end break between semesters, and Spring break) may delay the above process at all levels: Meeting with the Dean, Conduct Council hearing and appeal. In such cases, the process will resume as soon as possible upon reopening of the university and return of all university personnel involved in administration of this process.



**Interpretation:** Dean of Student Affairs

**Ownership:** President

**Publication:** UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009		Language corrected to be more precise
November 2011	Offenses Related to Unlawful Harassment Violation of Conduct Conduct Council	

POSTHUMOUS DEGREE AWARD POLICY	
Effective Date	December 17, 2018
Date of Last Update	-

## POLICY AC A-05

### PURPOSE

The purpose of this policy is to establish the guidelines for awarding posthumous degrees.

### POLICY

AUD recognizes the value of granting a posthumous baccalaureate degree in acknowledgement of the achievements of students who became deceased prior to graduation.

### GUIDELINES:

- A. A posthumous baccalaureate degree may be awarded if a student, at the time of death:
  1. had satisfactorily completed at least two-thirds (2/3) of all coursework towards a degree;
  2. was in good academic standing;
  3. had been enrolled in the semester in which the death occurred. Alternatively, in the previous spring semester in case it happened during summer.
- B. The Registrar should present the academic record and recommendation for awarding the posthumous degree to the President.
- C. The President must approve the awarding of a degree posthumously.
- D. If, at the time of death, the conditions for award of a posthumous baccalaureate certificate has not been met or for students who successfully complete less than 2/3 of all coursework towards the degree, the American University in Dubai can offer a Certificate of Attendance. The above conditions (A-C) must apply.

**Interpretation:** Office of Student Affairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Graduate Catalogue

SUMMARY OF CHANGES		
Date	Section	Change

<b>GRIEVANCE POLICY</b>	
<b>Effective Date</b>	Fall 2018
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AC A-06**

### **PURPOSE**

The grievance process is established to provide due process to all members of the AUD community, in particular where early intervention has failed to resolve complaints filed by either employees or students.

### **GRIEVANCE OFFICER**

- The Grievance Officer offers confidential, informal, independent, and neutral dispute resolution services by providing mediation, information, advice, and referrals as appropriate.
- The Grievance Officer facilitates formal resolution of grievances within the AUD community through the grievance procedure as outlined within this policy.
- For students, in the event that the student complaint procedure available on <https://complaints.aud.edu/> and as stipulated under the *Student Complaint Policy AC-A-19* did not yield reasonable outcomes, he/she may consult the Grievance Officer by following the AUD Grievance Process described below.

### **PROCEDURE**

- Grievant should directly communicate with the person with whom he/she has a complaint. It is the grievant's responsibility to do this before any further action is pursued;
- For students, if the initial attempt to resolve the complaint does not result in a satisfactory resolution, the student has the option to file the complaint formally online through the Student Complaint System; for employees, they may file their formal complaints with their respective supervisors.
- If the grievant wishes to go through the grievance process due to lack of progress in resolving the complaint or dissatisfaction with the resolution to the complaint; he/she is required to seek the counsel of the Grievance Officer within ten working days of the formal filing of the complaint;
- If the grievant wishes to pursue the matter further, he/she should submit a written complaint to the Grievance Officer with the following information:
  - his or her description of the incident(s);
  - the name of the person with whom he/she has a concern/complaint;
  - a suggested remedy.

- The Grievance Officer will then contact the respective Dean, Associate Dean or Chair (academic issues), Office Director (non-academic issues), or Supervisor (as appropriate) and provide them with the information regarding the complaint;
- The Dean, Associate Dean or Chair (academic issues), Office Director (non-academic issues) or Supervisor will then begin the investigation of the complaint;
- The Dean, Associate Dean or Chair (academic issues), Office Director (non-academic issues) or Supervisor will provide a report reflecting the findings and giving recommendations within ten working days of the filing of the written complaint;
- If a written report is not received within this timeframe, the Grievance Officer will forward the grievance to the Provost and Chief Academic Officer (academic issues), Office Director (non-academic issues) or respective Senior Supervisor;
- The Grievance Officer in consultation with the Provost and Chief Academic Officer (academic issues), Office Director (non-academic issues) or Senior Supervisor, will summarize the decision and rationale in writing within ten working days to the grievant, the respondent, and the Dean, Associate Dean or Chair (academic issues), Office Director (non-academic issues), or Supervisor.
  - Appropriate action will be taken by the Dean, Associate Dean or Chair (academic issues), Office Director (non-academic issues) or Supervisor within five working days after receiving the summary of the decision/rationale.
  - Confirmation in writing that action has been taken will be provided to the Grievance Officer within five working days.

If at any time during this process, input is not provided within the stated timeframe, the Grievance Officer will collaborate with the appropriate parties to move the process forward. It is the responsibility of the Grievance Officer to keep the university Complaint Log. In the event that a grievance filed in Summer I or Summer II cannot be processed within the prescribed timeframe because one or more of the parties to the grievance are not available, the grievance will then be processed within the ten-day period immediately following the start of the Fall semester.

## **STUDENT**

### **GRIEVANCE APPEAL PROCESS**

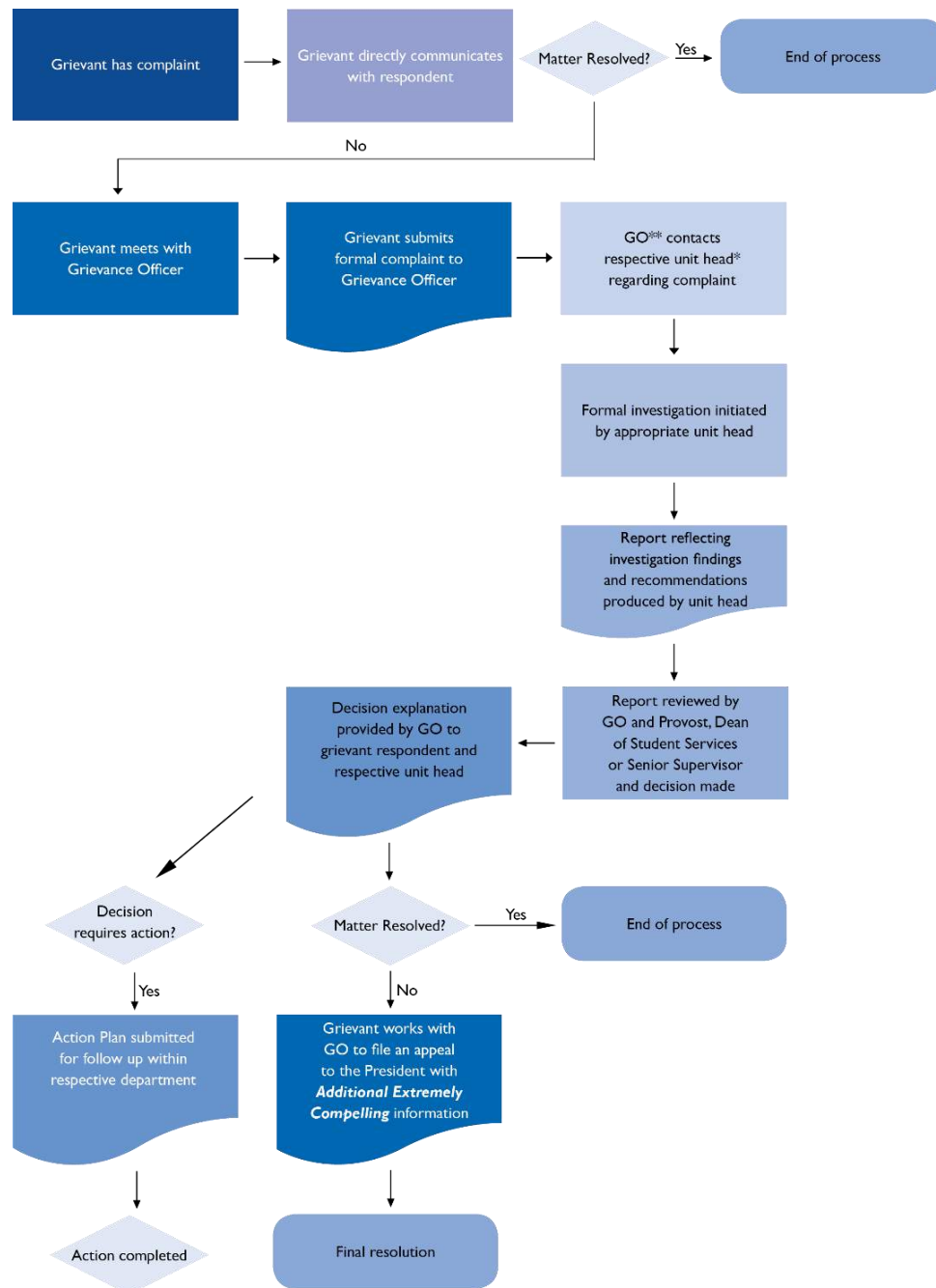
In the event that the above procedure does not yield a satisfactory resolution, the grievant may appeal to the President in writing. The grievant may seek the counsel of the Grievance Officer in preparing the appeal.

- This appeal must be received in the Office of the President within five working days after the grievant, the respondent, and the Dean, Associate Dean or Chair, Office Director or Supervisor have received written notification of the action.
- The decision previously made can only be overturned by the President if additional extremely compelling information is deemed relevant to the case outcome.

## Note

Georgia resident students have the right to appeal the final decision to the Nonpublic Postsecondary Education Commission (NPEC) at: 2082 East Exchange Place, Suite 220, Tucker, Georgia 30084-5305; tel.: +1-770-414-3300; website: [www.gnpec.georgia.gov](http://www.gnpec.georgia.gov)

## Grievance Process Flow Chart



\* Unit Head: Dean, Associate Dean or Chair (academic issues),  
Department Director, Manager or Supervisor (non-academic issues) \*\*GO: Grievance Officer

**Interpretation:** Grievance Officer  
**Ownership:** President  
**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	All	Amended to align with best practices.

<b>ACADEMIC INTEGRITY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AC A-07**

### **PURPOSE**

The purpose of this policy is to define academic integrity and the penalties for academic integrity violations.

### **POLICY**

#### **Academic honesty**

At AUD, students are expected to demonstrate academic integrity by completing their own work, assignments, and assessments; and it is the obligation of faculty to uphold the university's policies regarding academic integrity. Submission of work from another person, whether it is from printed sources or someone other than the student; previously graded papers; papers submitted without proper source citation; or submitting the same paper to multiple courses without the approval of all instructors involved can result in a failing grade or be reported to the Dean, Associate Dean or Chair for appropriate sanction or disciplinary actions. All students are expected to maintain the standards as set forth in the *Code of Student Conduct* and *Statement on Academic Honesty*.

#### **AUD Honor Code Pledge**

The administration, faculty and student government of AUD believe strongly in the concept of an honor system. This belief is based on the knowledge that in competitive professional environments, greater emphasis is placed on originality and integrity of ideas and work. With the freedom to pursue an AUD degree comes the obligation to abide by the rules of the AUD Honor Code. All members of the AUD academic community, including faculty, students, and administration, are expected to assist in maintaining the integrity of the university, which includes reporting incidents that violate the *Statement on Academic Honesty*.

To this end, all students are asked to sign and adhere to an honor pledge that reads as follows:

"As a student of The American University in Dubai, I pledge that all tests taken by me and that all work submitted by me will be original and solely the results of my own efforts. Furthermore, as a student and member of the academic community of The American University in Dubai, I am bound to uphold standards of personal integrity and honesty and to accept my personal, academic and professional responsibilities in the community.

*Specifically, I pledge:*

- *to adhere to the university's policy on cheating and plagiarism;*
- *not to lie or steal in my university undertakings;*
- *not to evade the truth or deceive;*
- *to inform the appropriate faculty member and Dean, Associate Dean or Chair of any and all cases of academic dishonesty and violations of the Honor Code."*

Violations of the Honor Code are handled as set forth in the *Student Handbook*. All members of the AUD academic community, including faculty, students and administration, are expected to assist in maintaining the integrity of the university, which includes reporting incidents that violate the Statement on Academic Honesty.

## DEFINITIONS

### Cheating

***Cheating is using or attempting to use unauthorized materials, information, or study aids in any academic exercise.*** It includes the following:

- for both in-class and out-of-class academic exercises, using books, notes, materials, calculators, CD ROMs, Internet, Intranet, WWW or communication or collaboration with others which has not been authorized by the instructor;
  - *Examples include but are not limited to the following: mobile phones, tape recorders, texts, friends, relatives, tutors and others.*
- having someone else take an examination in your place;
- during an examination, copying from another student's examination paper, facilitating other students' copying or allowing another student to copy from one's own paper;
- presenting or handing in a paper, sketch, artwork, project, take-home exam, costume, photographs or any other work written, prepared or completed in full or even in part by someone else;
- unauthorized access to or use of examinations, tests or quizzes;
  - *If a student inadvertently sees an exam, it is his or her responsibility to report this immediately to the instructor or relevant Dean, Associate Dean or Chair.*
- fabrication - intentional and unauthorized falsification or invention of any information or citation in an academic exercise; for example, listing sources that were not used in the academic exercise;
  - *Making up the names of books, page numbers, data, charts, tables, etc.*
- using an essay, paper, artwork, sketch, etc. for one course to satisfy the requirements of another without the permission of the instructors involved. This includes repeating the same course and handing in work completed during the previous unsuccessful attempt. (If a student wishes to use a previously completed assignment as a starting point for additional research and development, he or she must receive the approval of both instructors and provide them with a copy of the original assignment.);
- handing in the same assignment simultaneously in two or more courses without the full knowledge and approval of all instructors involved.



## Plagiarism

- *Plagiarism is the use of someone else's ideas, words, projects, artwork, phrasing, sentence structure or other work without properly acknowledging the ownership (source) of the property (item). Plagiarism is dishonest because it misrepresents the work of someone else as one's own. It is intellectual theft as it robs someone else of credit for his or her work. Plagiarism takes many forms and includes the following:*
- using someone else's words without putting these words in quotation marks;
- using unique, original ideas, phrases, sentences, paragraphs, etc. from a single source or a variety of sources such as a text, journal, web page, electronic source, design, artwork etc. in one's work without citing (all) the source(s);
- Taking a design from a piece of a web page or artwork and only changing the colors.

## Other Forms of Academic Dishonesty

Students who have falsified or omitted academic information from applications and other university documents have also violated the AUD Honor Code.

## Administration of the University's Academic Integrity Policy

The university uses a two-level process for reviewing suspected violations of academic integrity. The first level is the *Dean of the school* in which the violation is suspected to have been committed. The second level is the *University Honor Council (UHC)*.

The Provost and Chief Academic Officer oversees all aspects of administration of the university's academic integrity policy; both of the preceding levels are answerable directly to the Provost and Chief Academic Officer on all matters pertaining to this process.

### I. Review and Decision at the School Dean Level

- A. A faculty member, staff member or student who has reason to believe that a violation of the Honor Code has been committed by one or more students must notify the Dean of the school in which the violation is suspected to have been committed, in writing.
- B. If the suspected violation occurs at the end of a semester or summer term when final grades are due for submission to the Registrar's Office, a grade of "Incomplete" will be assigned in the course in which the violation is suspected to have occurred. The "Incomplete" will remain on the student's record until the investigation is completed and a final decision is reached on the case.
- C. The Dean carries out the initial investigation of the suspected violation in consultation with the instructor of the course and with the Registrar, to determine if there are previous guilty verdicts for breaches of academic integrity in the student's record.
- D. Based on this investigation, the Dean of the academic unit offering the course decides whether the evidence warrants further action. If no further action is warranted, the case is dismissed. In this case, if the suspected offense occurred at the end of a semester or summer term and a grade of "Incomplete" was submitted pending completion of the investigation (per I. B above), the final course grade, free

of any penalty, will immediately be communicated in writing to the Registrar's Office to replace the "Incomplete."

- E. If further action is warranted, the Dean of the academic unit offering the course determines which of the two following courses of action is appropriate: (1) *school level decision* on guilt/innocence and penalty in case guilt is established, or (2) *referral to the UHC*.
- F. As a rule, decisions on violations involving graded work that is worth not more than 10% of the course grade are made at the school level, i.e., by the Dean. All other offenses will be referred directly to the UHC.
- G. An appropriate penalty, commensurate with the offense, will be applied from the menu below (Section VI). In this case, the final course grade specified in the penalty will immediately be communicated in writing to the Registrar's Office. This grade will replace the "Incomplete" grade if the latter grade was assigned earlier pending completion of the investigation (per I. B above).
- H. Regardless of the weight of the graded work involved, the offense will count as a *first offense*.
- I. Regardless of the weight of the graded work involved, a *second offense* will always be referred by the school Dean directly to the UHC.
- J. Regardless of the weight of the graded work involved, an offense which potentially constitutes a legal infringement or an act punishable by law will always be referred by the school Dean directly to the UHC with a memorandum (copied to the Provost and Chief Academic Officer) describing the actions that might constitute a legal offense.

Examples of such actions include but are not limited to the following:

- 1. Theft
  - 2. Breaking and entering
  - 3. Gaining unauthorized access to exams and other materials or documents in hard copy or on an electronic device through hacking, deception, stealing passwords, or by any other means
  - 4. Making available, leaking, spreading, sharing or otherwise providing unauthorized access to exams and other materials, documents or information
  - 5. Impersonation (taking an exam under the name of another student by presenting the other student's ID; both the impersonator and the impersonated student will be considered accomplices in the offense)
  - 6. Falsification or forgery of documents
  - 7. Providing or receiving benefits (monetary and other) for any of the above actions or for other similar actions
- K. Within two working days\*, the Dean must inform the student, in writing, of the violation of the Honor Code, of the verdict reached, and the penalty. The letter to the student must be dated and signed and a copy must be sent to the course instructor, the Registrar (for filing in the student's file), the Dean of the student's school, and the Provost and Chief Academic Officer.
  - L. Before the decided penalty against the student for violation of the Honor Code becomes final, the student is entitled to appeal the Dean's verdict and penalty within three working days\*. In this case, the student will address his/her appeal in writing (signed and dated) to the UHC Chair. The school Dean will then refer the case in

writing, with all documentation, evidence and the basis for the Dean's verdict and penalty, to the UHC.

- M. If a student chooses to appeal the Dean's verdict and penalty to the UHC (per I.L above), the UHC's decision will be final and not subject to further appeal to higher levels.

## **II. Review and Decision by the UHC**

- A. The UHC is a body of academics, administrators, and student representatives whose functions are (1) to examine all suspected violations of the Honor Code that are referred to it by school Deans (including cases referred to the UHC by a school Dean as a result of a student appeal (I.J above), or because the case is a potential second offense (I.H above), (2) to reach reasoned decisions on the innocence or guilt of students involved in such suspected violations, and (3) to decide appropriate disciplinary measures for students found guilty of violating the Honor Code.
  - 1. The UHC is answerable directly to the Provost and Chief Academic Officer.
  - 2. The UHC will serve for a two year-term.
  - 3. The Chair of the UHC will be a school Dean appointed by the Provost and Chief Academic Officer for a two-year term.
- B. Besides the Chair, the UHC will consist of eight representatives:
  - 1. one academic member from each of the five schools other than the school whose Dean chairs the UHC will be selected by the UHC Chair in consultation with the other school Deans (these members must have been in AUD's employ for at least one full academic year),
  - 2. one member from Student Affairs (Dean of Student Affairs or designate), and
  - 3. two Student Government Association (SGA) representatives who must have completed at least three semesters of full-time study at AUD and must not be currently registered in the same section of the course in which the violation of the Honor Code is suspected to have occurred.
- C. For each of the UHC members including the Chair, an alternate member will be designated in order to avoid delays in case of inability of regular members to attend.

## **III. UHC Procedures**

- A. Upon receiving a case of a suspected academic integrity violation from a school Dean, the UHC Chair notifies, by letter, the student(s) suspected of committing the violation of the date, time and place of the UHC's meeting. The student should be instructed to collect the letter from the office of the UHC Chair.
- B. If, during the investigation, the student admits committing the breach of academic integrity, the UHC Chair will have the student sign a written admission. The UHC will decide an appropriate penalty from the menu below (Section VI) based on the available evidence and the student's written admission. The final course grade specified in the penalty will immediately be communicated in writing to the Registrar's Office and will replace the "Incomplete" grade if the latter grade was assigned earlier pending completion of the investigation (per I. B above).
- C. The UHC proceedings will include interviewing the student(s) involved and, if required, calling witnesses to testify, as well as conducting a follow-up investigation prior to reaching a decision.
- D. Within two working days\* from the date of the UHC decision, the UHC Chair must inform the student(s) involved in writing of the alleged violation of the Honor Code, of

the verdict reached, and penalties decided by the UHC if a guilty verdict was reached. The letter to the student(s) must be dated and signed by the UHC Chair, and copies must be sent to the Provost and Chief Academic Officer and to the Registrar for replacing the "Incomplete" (if such a grade was assigned earlier per I. B above) with either the final course grade specified in the penalty (for guilty verdict) or with the final course grade free of any penalty (for a not guilty verdict), and for filing in the student file(s) .

- E. Before any penalty decided against the student(s) for violation of the Honor Code, the student(s) is/are entitled to appeal the Honor Council's verdict and penalty in writing (signed and dated) to the Provost and Chief Academic Officer within three working days\* from the date the UHC letter was sent to the student(s).
- F. The Provost and Chief Academic Officer will respond to the appeal in writing. A copy of the Provost and Chief Academic Officer's dated and signed response to the student(s) will be sent to the UHC Chair, the school Dean, the course instructor and the Registrar.
- G. The Provost and Chief Academic Officer has the right to overturn the UHC's verdict and/or penalty. In such exceptional cases, the Provost and Chief Academic Officer will inform the UHC Chair in writing of the decision to overturn the verdict and/or penalty and the reasons behind this decision.
- H. A final appeal may be made to the President of the university. The Grievance Officer is available to guide the student through this stage of the appeal process.
- I. A student can waive the right to appear before the Honor Council. The student should complete a Waiver of the Right to Appear Before Conduct or Honor Council available through the Office of the Dean of Student Affairs and the office of the Provost and Chief Academic Officer.

#### **IV. The UHC Hearing**

- A. At the start of each UHC hearing, the Chair informs all members of the confidentiality of the case and their obligation to uphold complete confidentiality throughout the university community.
- B. The UHC Chair presents a short overview of the case. The overview should contain all information and evidence pertinent to the case including evidence such as papers, exams, videotapes, photos, etc. The UHC may request the assistance of experts from the university community if the evidence is too technical or difficult for UHC members to comprehend.
- C. The suspected student must appear at the scheduled hearing unless he or she has completed a *Waiver of the Right to Appear Before Conduct or Honor Council*. If the student encounters an unforeseen emergency, he or she must present acceptable documentation supporting the emergency or the absence.
- D. The UHC may also call in witnesses if it is felt that their presence and testimony will provide information pertinent to the case. Character witnesses are not permitted nor are friends or family members of the suspected violator.
- E. At the start of the hearing, the UHC Chair asks the suspected violator if he or she understands the suspected violation and how he or she wishes to plead. All evidence will be shared with the suspected violator.
- F. The UHC then questions the suspected violator and witnesses involved with the case.

- G. Following the testimony provided by the suspected violator and witnesses, the UHC will deliberate and come to a conclusion regarding the case. The conclusion will also include a recommendation of a suitable sanction/punishment. All members of the UHC will vote on both guilt/innocence and the sanction/punishment. Voting will be by secret ballot and members are required not to disclose how they voted to anyone (including other UHC members) during and after the meeting.
- H. The UHC Chair will then compose a letter to the accused student informing him or her of the UHC decision regarding guilt or innocence and the penalty in case of guilt. This letter will be shared with all UHC members to ensure accuracy and proper wording. If approved by the UHC, the signed and dated letter will be sent to the student with copies to UHC members, the instructor of the course in which the violation took or was suspected to have taken place, the Registrar (for replacing any "Incomplete" assigned earlier with either the final course grade specified in the penalty (for guilty verdict) or with the final course grade free of any penalty (for a not guilty verdict), and for filing in the student's permanent file, the Chief Financial Officer (if needed, should the student be dismissed), the Housing Manager (if the student is dismissed and if he or she resides in the residence halls), and the Provost and Chief Academic Officer.

## **V. The Appeal Process**

- A. Students who believe they have a valid basis to appeal the decision of the UHC have three working days from the receipt of the decision letter to appeal the decision. All appeals must be made in writing to the Office of the Provost and Chief Academic Officer.
- B. Granting of appeals is exceptional. Appeals may be granted if the UHC penalty was inappropriate (based on the penalties below), if new evidence becomes available, if the case was mishandled, and/or if a decision was made without the testimony of the suspected violator in the case of a documented emergency.
- C. If the UHC decision is overturned and the appeal is granted by the Provost and Chief Academic Officer, a new letter indicating the new decision will be sent to the student and copied to the UHC members, the instructor of the course in which the violation took or was suspected to have taken place, the President, the Registrar and, if appropriate, the Chief Financial Officer and the Housing Manager.
- D. If the appeal is denied by the Provost and Chief Academic Officer, the student may appeal to the President within three working days from the date of the Provost and Chief Academic Officer's letter.

## **VI. Penalties for Academic Integrity Violations**

- A. Following careful consideration at the school Dean level (I.F above) or deliberation at the UHC level (III.D above), a penalty commensurate with the seriousness of the offense and the degree of student culpability will be determined from the menu below:
  - 1. Zero on the graded work involved in the offense (normally applied to offenses reviewed at the school Dean level, although more severe penalties may not be ruled out)
  - 2. A grade of F in the course

3. A grade of F in the course plus suspension in the academic term following the term in which the offense was committed
  4. A grade of F in the course in which the offense was committed, immediate withdrawal from all courses in which the student is enrolled, and immediate dismissal from the university (dismissal is subject to ratification by the Provost and Chief Academic Officer before going into effect)
- B. The penalty for second-time offenses can never be less than VI.A.3 above.
  - C. Students who aid in someone else's cheating or plagiarism are equally at fault and will be sanctioned accordingly.
  - D. The university reserves the right to inform the appropriate authorities and pursue legal avenues which may result in prosecuting students found guilty of committing acts that constitute legal infringements punishable by law (examples of which are listed in I.J above).
  - E. The university also reserves the right to inform the appropriate authorities and pursue legal avenues which may result in prosecuting other members of the AUD community as well as external parties who aid, abet or participate in breaches of academic integrity that constitute legal infringements or acts punishable by law. Such cases must be referred promptly to the Provost and Chief Academic Officer with all relevant information. A separate (non-UHC) investigation process will be conducted by the Provost and Chief Academic Officer and appropriate actions and remedies will be decided.

Students in need of clarification of the university's Academic Integrity Policy may consult the Dean or Associate Dean of their School or their Department Chair.

\*Holidays and extended periods during which the university is closed (such as Eid holiday, the year-end break between semesters, and spring break) may delay the above process at all levels: School Dean, UHC and appeal. In such cases, the process will resume as soon as possible upon reopening of the university and return of all university personnel involved in administration of this process.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Catalog; Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	All Sections	Updated to conform with current best practices

STUDENT ACTIVITIES POLICY	
Effective Date	Fall 2008
Date of Last Update	February 15, 2019

## POLICY AC A-08

### PURPOSE

The purpose of this policy is to provide guidelines for student activities.

### POLICY

Involvement in student activities at university is an important component of student life. AUD's American educational philosophy emphasizes a well-rounded student experience. Through participation in clubs and organizations, students not only become involved in university life, but also strengthen their socialization, team-building, leadership, event planning and organizational skills. Membership in student clubs and organizations also enables students to share mutual interests with fellow students. The memories created on campus, through activities, are essential for the holistic development of university students.

The Division of Student Activities aims to create and offer those opportunities for AUD students. The Student Activities Coordinator, with assistance from the Student Government Association, creates and plans numerous activities for students throughout the year. These activities, designed to be both social and cultural, include desert safaris, dhow trips, beach parties, guest lectures, dinners, international celebrations, plays, and music nights.

AUD-sponsored activities introduce students to many of the diverse social and cultural events held in local cities. A calendar of events is available on the university's website [www.aud.edu](http://www.aud.edu). Any student having a suggestion for a student activity should contact the Student Activities Coordinators.

**Interpretation:** Coordinator of Student Activities

**Ownership:** President

**Publication:** UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

<b>STUDENTS' CLUBS AND ORGANIZATIONS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-09**

### **PURPOSE**

The purpose of this policy is to provide guiding principle the creation and operation of clubs and organizations at AUD.

### **POLICY**

Students who want to form a new club or organization must complete an AUD Club application form and submit it to the Student Activities Coordinators.

When applying to create a new club, students must adhere to the following guidelines:

- Insure that the purposes, principles, and policies of the club/organization are consistent with the general philosophies and principles of The American University in Dubai
- Ascertain that the membership in the club/organization is open to all currently enrolled university students in good standing without regard to age, color, creed, national origin, handicap, marital status, race, religion, or gender
- Have a committee of at least four (4) students interested in and committed to working as officers in the club/organization (fulfilling the President, Vice-President, Secretary and Treasurer roles)
- Have a committed Club Advisor
- Make sure that the statements of the purpose, criteria for membership, rules or procedures, and a current list of officers are filed with the Division of Student Activities
- Insure that the policies and actions of the club/organization are determined only by those individuals who hold bona fide membership in the organization
- Make sure that the club/organization President meets regularly with the Club Advisor and the Student Activities Coordinators
- Obtain written approval for recognition for the club from the Dean of Student Affairs and President of the university
- The Student Activities Coordinators, the Dean of Students Services, and the President of the university reserve the right to deny approval to any organization. Students are entitled to a written statement from the administration regarding approval or denial
- Late requests for club renewal or formation will be accepted but the budget allocated for the club will be effective the following semester. Late requests will be accepted only by the end of the first month of each semester.



- All club officers must be in good academic standing with a CGPA of 2.0 or above
- The Student Activities Coordinators will apply the three-point warning system (refer to p. 64) if club officers do not fulfill their duties
- If a Student Club has not been active for one semester, it will be placed on probation. If the Student Club has not been active for one year or two semesters, it will be disbanded
- All clubs/organizations are overseen by the Student Government Association (SGA)

**In order for clubs to remain active, a club must:**

- Hold regular, documented meetings with club members throughout the semester;
- Have a minimum of four (4) officers (President, Vice-President, Secretary, and Treasurer)
- Organize a minimum of two (2) events per semester;
- Organize at least one (1) collaborative event with another student club per year;
- Keep a current Club Advisor informed about the club's activities;
- Elect new officers every fall, elections should be held in September;
- Submit monthly financial statements to the Student Activities Coordinators and Club Advisor. Any expense items not featured on the statements are the full responsibility of the club president. All club debts must be resolved before the end of the current semester and/the club president leaves the position. Expense claims cannot be carried forward to the following semester.
- An annual *Club Renewal Form* should be submitted to the Division of Student Activities (in April) and include the list of new officers and signature of the Club Advisor.

**Club Officers Suggested Titles and Responsibilities**

***President***

- Must be in good academic standing (2.0 or above)
- Must be a student who will serve in his or her position for a full academic year (two semesters);
- Must be a student who was voted into his or her position;
- Is responsible for a solid team of officers in order to complete club requirements, expectations, and ensuring the dependability and quality of the club for its members;
- Is ultimately responsible for the club's finances and ensuring that all club expenses are fully paid at the end of each semester during their term;
- Must report to the Student Activities Coordinators regularly (at least twice per semester) through email or in person with activity plans, updates, etc.;

- Must communicate regularly with the Club Advisor through email or in person (every two weeks) with activity plans, updates, etc.;
- If the President wishes to resign, a one-month notice must be received by the Student Activities Coordinators and Club Advisor in writing, following which elections must be held to fill the vacancy (unless the Vice President wishes to step in).

### ***Vice President***

- Must be in good academic standing (2.0 or above)
- Must be a student who will serve in his or her position for a full academic year (two semesters);
- Must be willing to serve as President if the Presidential position should ever become vacant;
- Must be a student who was voted into his or her position;
- Must assist the President in his or her duties and responsibilities;
- If the Vice-President wishes to resign, a one-month notice must be received by the Club President and Student Activities Coordinators in writing, then elections must be held to fill the vacancy.
- If the club officers have a complaint against the President, the VP should pursue the three-point warning system (p. 64).

### ***Secretary***

- Must be in good academic standing (2.0 or above)
- Must be a student who will serve in his or her position for a full academic year (two semesters);
- Must send the Student Activities Coordinators and the Club Advisor a list of club officers' contact information (names, emails, mobile numbers) and keep this list current throughout his or her post as Secretary;
- Must notify the list of current club members as well as the Student Activities Coordinators and Club Advisor of meetings at least 2 days before the actual date so that all who are interested may attend;
- Must send the Student Activities Coordinators and the Club Advisor the meeting minutes for every meeting the club conducts;
- Is expected to maintain a current list of members and communicate with them regularly (once every week) with updates from the club and news of current events related to the club's area of interest;
- Must provide the Student Activities Coordinators with an updated and current membership roster, this should be updated every semester and/or after every club sign-up event;
- If the Secretary wishes to resign, a one-month notice must be received by the Club President and Student Activities Coordinators in writing, then elections must be held to fill the new position.

***PR Officer/Treasurer***

- Must be in good academic standing (2.0 or above)
- Must be a student who will serve in his or her position for a full academic year (two semesters);
- Must be creative;
- Must be reliable and responsible for all club funds and monetary issues, and must submit to the Student Activities Coordinator updated spreadsheets showing the event type, date, expense and balance;
- Must approve all expenses in advance of any event (minimum of two weeks in advance) with the Student Activities Coordinator;
- Must issue a monthly report concerning club activities sent to other club officers and club members through email and meetings;
- Must copy the Student Activities Coordinators and the Club Faculty Advisor on the above emails;
- If the PR Officer/Treasurer wishes to resign, a one-month notice must be received by the Club President and Student Activities Coordinators in writing, then elections must be held to fill the vacancy.

**Club Websites**

The AUD website has a webpage for clubs, in which their information and the events are posted. These should be kept updated by the club by contacting the Student Activities Coordinators.

Clubs may put a link to their official club website on the AUD club webpage. However, the following guidelines must be adhered to while designing the club website:

- Developing a club's external website has to be approved by the Office of Marketing Communications.
- Content approval rests with the Dean of Student Affairs.
- No academic information should be included. Instead, there should be links to the AUD website.
- The content should contain club information only.

Clubs that do not adhere to the above guidelines will be disbanded at the end of the academic year. A new club application, available at the Division of Student Activities, must be completed to reinstate disbanded clubs.

## Club Elections

Regulations and guidelines for club elections are listed:

- Officers for each club will be chosen through democratic elections.
- The Student Activities Coordinators may call upon the club and advisor to conduct the elections more than once a year or before the end of the year if there are vacant officer positions.
- The Student Activities Coordinators must be informed of the intention of a club to hold elections.
- Election date, time, and location must be given to the Student Activities Coordinators and the Club Advisor at least two weeks in advance.
- Elections must be publicized **at least a week in advance** in the following ways: flyers, word-of-mouth, possible announcements in classes, email to existing club members, etc.
- Each candidate for a position may campaign to voters through flyers, word of mouth, and a short speech during the first ten minutes of the actual election meeting.
- At the election, voting will be conducted through a survey, counted by the Club Advisor and/or the Student Activities Coordinators. Abstaining is allowed. Telephone or verbal votes do not count; voters must be present at the meeting or email their vote to the Student Activities Coordinators **before** the meeting.
- A club **must have at least four officers** (President, Vice President, Secretary, and Treasurer) to be active at AUD.
- Majority vote decides the winner.
- Only club members may vote during elections for officers.
- At least one of the club's officers should be a non-senior AUD student to ensure continuity of the club's existence.
- The Club Advisor or Student Activities Coordinators must be present during the elections.
- Candidates may vote for themselves.
- Students may only vote once for one candidate.
- If a club does not hold elections or officers are chosen in unfair processes, this must be reported to the Student Activities Coordinators and Club Advisor so as to take measures to rectify the situation.

## After Elections

- All contact information (name, email, mobile number, student ID number and position) of the club's new officers should be sent to the Student Activities Coordinators and the Club Advisor.
- The newly elected President and Vice-President are required to present a semester plan (activities) with the Student Activities Coordinators within two weeks of being elected.
- The first meeting of the club should be announced a maximum of one week after elections are held.

- The Student Activities Coordinators and the Club Advisor should be notified of the first meeting after elections so that both may attend. Any subsequent meetings are also open to the Student Activities Coordinators and/or the Club Advisor.

### **Club Events and Activities**

Clubs are advised to hold meetings at least once every two weeks in order to maintain regular membership, active intentions, and progressive plans for upcoming events and activities.

Clubs should alert the Student Activities Coordinators of meetings and provide a copy of the meeting minutes to the Coordinators within two weeks of a meeting. Clubs or student organizations may plan an event by submitting an *Event Request Form* found on the AUD website. Applications will be reviewed by the Student Activities Coordinators and any other designees, as necessary.

**Important note:** Before approval is granted, clubs cannot advertise the event or proceed with expenditures related to the event.

Due to the time required for students to plan a successful event, and the AUD administration to complete the approval and preparation process for the event, proposals must be submitted within the following time constraints:

- Small events (examples are movie nights roundtable discussions): a minimum of one week before the event.
- Standard events (examples are exhibitions, guest speakers, and social events on campus): a minimum of two weeks before the event.
- Open/special/charity events (examples are concerts on AUD premises, any events open to the public: a minimum of three months before the event.

### **Procedures for Club Events and Activities**

Prior to an event, as detailed above, clubs must submit the *Event Request Form* to the Division of Student Activities. For events open to the public and/or which require the sale of tickets, approvals from the Department of Tourism and Commerce Marketing (DTCM) and TECOM are required. This procedure is done with assistance from the Offices Communications and Central Services.

All invitations to guest speakers for various events and activities (classes, conferences, seminars, workshops, etc.) require prior approval from the Provost and Chief Academic Officer and the Communications Office, both for reasons related to the U.A.E. Ministry of Education – Higher Education Affairs regulations and for maintaining internal records on activities and events.

After the event, clubs should submit the *Event Report Form*, available from the Division of Student Activities. At the end of the academic year, the club must submit an Annual Report

to the Division of Student Activities. This information is needed in order to establish a record of the event's success and identify areas of improvement, which will help establish club integrity and history at AUD.

In order for clubs to remain active at the end of an academic year, each organization's new leadership committee must complete the Club Commitment letter from the Division of Student Activities.

All club forms should be submitted electronically by a student club officer and submitted to the Student Activities Coordinators by email, or in person. All the previously mentioned forms are available on the website.

### ***Security Guard Policy***

The Office of Central Services and the Office of Student Affairs work together to ensure that events are safe and entertaining. The security guard policy is nonnegotiable. Clubs have the right to work with outside security companies, but this must be cleared through the Director of Central Services and the Student Activities Coordinators. Clubs may be required to obtain additional security guards for their event depending on the type of event and projected attendance. The Office of Central Services maintains rate charges for security guards. The Student Activities Coordinators work in cooperation with the Office of Central Services which will finalize all security arrangements. Club leaders must provide complete information regarding the event.

### ***How to Plan a Student Event***

When planning a student event, club members must:

- Meet with the Student Activities Coordinators to discuss the event idea.
- If the event seems feasible and it is in accordance with AUD Rules and Regulations, complete the *Event Request Form* electronically and within the timelines detailed previously.
- The Student Activities Coordinators will request equipment, space and obtain approval for the event.
- Following approval, clubs are encouraged to promote the event in the following ways:
  - Flyers/posters around campus
    - The flyers/posters must be approved and stamped by the Office of Student Affairs or the Student Activities Coordinators.
    - The flyers/posters must be posted on areas and billboards that are specifically designated for students' notices.
    - Flyers/posters should be distributed during lunch break in the cafeteria and at the exit doors of the various buildings.
    - Flyers/posters must be removed the day after the event.

- On the AUD website by submitting a soft copy of the flyer/poster to the Student Activities Coordinators who will then coordinate with the Director of Communications
- A table can be set up outside the cafeteria where club members can tell people about the event and/or sell tickets, when applicable.
- Through other clubs
- A showcase may be created in the School of Architecture, Art and Design, or the School of Business Administration academic buildings to promote the event.
- Think outside of the box and be creative in your marketing! All marketing ideas must be approved through the Student Activities Coordinators.
- All requests for press coverage must be communicated to the Student Activities Coordinators who will coordinate with the Office of Communications.
- After the event, complete an *Event Report Form* and submit it in to the Student Activities Coordinators within one week of the event's occurrence.

### **Club Advisors**

Advisors have important roles in the development and growth of student organizations, serving as a vital link between the university and the students. Significant interaction with faculty and staff along with involvement on campus, increases student learning both inside and outside the classroom. A significant way to interact with students is to advise a club/organization.

Advisors serve as valuable resources, mentors, and role models for students, particularly in the areas of leadership, communication, organization and personal growth. They provide continuity and stability to a group whose officers and membership are continually changing. The university requires that all campus-recognized clubs have an official Club Advisor. The Club Advisor must be a full-time AUD faculty/staff member who is willing to provide support and guidance to the club. Club Advisors are volunteer full time faculty and staff members who, out of personal interest and dedication, give of their time and talent to promote and support extracurricular programs at AUD.

### **Responsibilities of a Club Advisor**

It is the duty of a Club Advisor to maintain productive close contact with the club officers and members, providing support and leadership when necessary.

Advisors are strongly encouraged to:

- Be aware of the mission, goals, and purposes of the club and help the club represent their interest on campus;
- Encourage creativity; steer the club in the appropriate direction with interesting events or activities;
- Be available to sign appropriate official university forms;
- Instill teamwork, cooperation, creativity, and collaboration in the club members;
- Attend club elections during the Spring semester, and attend the first meeting of the club after the elections or after a new semester has started;
- Attend regular meetings of the club, whenever possible;
- Have an awareness of and attend all club events/activities;
- Monitor club morale and activity and, if need be, speak with the Student Activities Coordinators to rectify or improve any unsatisfactory situation in those areas;
- Make every effort to ensure that officers are taking minutes of every meeting and are providing the Club Advisor and the Student Activities Coordinators with copies of all minutes;
- Be familiar with university policies and procedures relating to Clubs and Student Organizations;
- Report concerns regarding inactivity, abuse and/or violation of university policies to the Student Activities Coordinators;
- Remain in the loop and be informed regarding sponsorship, organization, planning and carrying out of events;
- Attend club events in order to show support and camaraderie.
- Ensure that the club president submits monthly financial statements that outline all the club's outstanding expenditures.



**Policy for Changing Club Advisors**

If a club's student leaders feel the need to change the club's faculty/staff advisor, the Student Activities Coordinators should be informed prior to the new advisor being approached or the old advisor being asked to step down from his or her position. The students have the right to choose their Club Advisor.

The process for changing a Club Advisor:

- Inform the Division of Student Activities of the intention to change the advisor.
- Send a written explanation of the intention and the rationale behind the decision to the Student Activities Coordinators.
- Once the proposed change is approved, the new Club Advisor should meet with the Student Activities Coordinator in order to become informed of the club's activities and nature.

Any issues or concerns from the clubs, its members, events, or its advisor(s) should be addressed to the Student Activities Coordinators.

**Interpretation:** Dean of Student Affairs

**Ownership:** President

**Publication:** UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	All	Language adjusted for clarity

<b>CAREER SERVICES POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-10**

### **PURPOSE**

The purpose of this policy is to cover the use of career development services by students, alumni and employers.

### **POLICY**

AUD offers full-time Career Services that provide degree seeking AUD students and AUD alumni the opportunity to receive individualized career guidance career research assistance.

The Career Services Office also provides assistance throughout all stages of students' career development. A wide spectrum of individualized services is provided, including resume and cover letter writing, interview techniques, job search strategies, salary negotiation advice, aptitude and skill assessment, and general career advice.

The Career Services Manager liaises with local and multinational companies, creating a business network to offer employment and internship opportunities to AUD students and alumni. With the increasing competition of today's global marketplace, students need every competitive advantage available; consequently, AUD encourages students to complement their academics with solid work experience, ensuring that upon graduation they will meet the high expectations of the marketplace. Early exposure to the work environment will solidify students' academic commitment, and allow a better understanding of the relationship between the classroom and the marketplace. Entering students should visit the Career Services Office during their first academic year and work with the Career Services Manager to begin to develop their career strategies in parallel with their academics.

### **Professional Development Series**

The Career Services Division offers several opportunities for students to network with employers and gain a perspective on various careers and fields. Industry professionals are invited to offer on-campus presentations related to corporate life, professional career preparation and industry trends. In an effort to equip students with marketplace knowledge and life skills that extend beyond the classroom, Career Services offers several workshops such as CV Building, Job Hunting Strategies, Interview Preparation, Internship Experience and many more.

## Internships

The Career Services Department ensures that an adequate number of quality internship opportunities are available for selection by students. To this end, the Career Services Department, in consultation with the appropriate School Dean or Department Chair, will contact companies and organizations that can potentially provide quality internships. Arrangements with host companies must include a detailed program for each internship opportunity, showing what activities the student intern will be engaged in during the full term of the internship as well as the name(s) of the host company staff member(s) who will be supervising the student during that period (see also AC-U-08 – UG Internship Policy and AC-G-07 – GR Internship Policy).

**Interpretation:** Career Services Manager

**Ownership:** President

**Publication:** UG Catalog; UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	All	Reference to External Affairs deleted to reflect new administrative structure.

<b>ATHLETIC EXCUSED ABSENCE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-11**

### **PURPOSE**

The purpose of this policy is to provide guidelines for managing athletic excused absences.

### **POLICY**

The Provost and Chief Academic Officer and the Athletic Coordinator will determine if the tournament deserves official excused absence status (Usually accepted tournaments include AUD hosted tournaments, overseas tournaments and UAE Higher Education Sports Federation Tournaments).

At the discretion of the Office of Academic Affairs, absences incurred due to participation in university-sponsored activities or sports tournaments may not figure in the calculation of a student's total absences.

### **PROCEDURE**

- Student-Athletes are expected to notify their instructors as soon as they are aware they will be missing a class due to a status approved athletic competition.
- Student's will NOT be excused from any scheduled exams or any due assignments. The onus is on the student to respect the class syllabus or make mutually acceptable arrangements with the instructor prior to being absent for class.
- Athletes must be in good standing with their teams in regard to attendance and discipline to qualify for an unexcused absence.
- AUD Sports Coaches should send a complete list of all athletes who participated in a particular game or tournament. This should be sent to the Athletic Coordinator before 4:00 p.m. the next school day following the excused absence. The list should include the student's current classes that were missed, the athlete's name, date and time of the game, location of game, and the coach's signature.
- The Athletic Coordinator will forward a complete schedule to the Dean of Student Affairs for a final additional verification.
- The Dean of Student Affairs will forward the verified list to the Provost and Chief Academic Officer.
- The Provost and Chief Academic Officer will issue the official excused absence to all relevant parties. Post-event excused absences will not be granted. An excused

absence will be given for any class that falls within two hours of the actual match time when the game does not take place at AUD.

- An excused absence will be given for any class that falls within one hour of the actual match time when the game takes place at AUD.
- The time given for athletes to report to Student Affairs will be extended to one week for the AUD-DSF International university Sports Tournament and any overseas tournaments.

**Interpretation:** Athletic Coordinator

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Catalog; UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change

<b>STUDENT TUITION AND FEES POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AC A-12**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for tuition and fee payments, refunds and financial aid

### **POLICY**

#### ***Tuition and Fees\****

University institutional policy requires all students to pay tuition and fees in advance. A student whose account is delinquent will not be allowed to register for the subsequent semester until the balance owed is paid in full.

The university evaluates institutional tuition and fee rates in the second semester of each academic year, and rates may be subject to change at the beginning of the following academic year. In the recent past, when implemented, tuition increases have been in the range of the 4-5% per annum. Any future hikes in tuition, if any, are expected to be within this range.

Study Abroad Program (SAP) students receiving financial aid may be allowed a tuition deferment based upon the anticipated receipt of funds. This is granted solely at the discretion of AUD, based on the official notice of approval from the granting or lending agency.

*(The standard academic year is comprised of the Fall [September-December] and Spring [January-April] semesters. There are two Summer sessions [May-June and July-August].)*

\* Inclusive of 5% VAT where applicable.

### **Undergraduate Programs**

#### ***Fall and Spring Semesters***

Tuition (less than 12 credit hours)	AED 3,885 per credit
Tuition (12 to 16 credit hours)	AED 44,887.50 per semester
Tuition overload (over 16 cr. hours)	AED 2,992.50 per credit
Services Fee	AED 315 per semester

#### ***Summer Sessions***

Tuition	AED 3,885 per credit
Services Fee	AED 210 per session

## Graduate Programs

M.A. in LICM Tuition	AED 4,095 per credit
M.B.A. Tuition	AED 4,095 per credit
M.Ed. Tuition	AED 3,885 per credit
M.S.C.M. Tuition	AED 4,095 per credit
Professional Teaching Certificate	AED 3,885 per credit
Additional Modules, if required	AED 2,625 per module

## Intensive English Language Program (IELP)

### Fall and Spring Semesters

Tuition	AED 29,400 per semester
Services Fee	AED 315 per semester

### Summer Sessions

Tuition	AED 21,000 per session
Services Fee	AED 210 per session

## Study Abroad Program in Middle Eastern Studies

*(Includes tuition and fees for 5 classes [15 hours], housing and some classroom-related activities) Tuition and Fees \$14,987 of which US\$274 is refundable at the end of the semester if no housing damage has occurred*

## Withdrawal Penalty (Scholarship Students)\*

- If an **undergraduate student** on scholarship exceeds the two-course limit for withdrawals, the following financial penalty will apply for each term the student withdraws from an additional course:
  - If a student is enrolled full-time (15 credits and above in Fall and Spring ), the overload tuition rate per credit for the academic year is applicable and will be charged at the time of withdrawal;
  - If a student is enrolled full-time (12 to 14 credits in Fall and Spring ), the rate per credit is calculated by dividing the tuition charged by the number of registered credits and will be charged at the time of withdrawal;
  - If a student is enrolled part-time (less than 12 credits in Fall and Spring), the part-time tuition rate per credit for the academic year will be charged at the time of withdrawal.

In the summer sessions, the student will be charged the full tuition for the course(s) from which he or she withdraws.

- If a **graduate student** on scholarship exceeds the two-course limit for withdrawals, he or she will be charged the full tuition for the course(s) from which he or she withdraws.

\* *Scholarships appearing in the AUD Undergraduate and Graduate Catalogs.*

### **Family Tuition Waiver\***

For families who have more than one son/daughter **enrolled simultaneously** at AUD as full-time undergraduates, a tuition remission of 25% is given to each offspring (sibling) after the first in Fall and Spring semesters only. Students who qualify for this waiver must, upon registration, complete a form available at the Finance Office. Scholarship students are not eligible for a *Family Tuition Waiver*.

*\* Applicable during Fall and Spring semesters only*

### **Health Insurance for AUD-sponsored students**

Private health insurance covering care in the U.A.E. is mandatory for all AUD-sponsored students. In order to meet this requirement by enrolling in the AUD-sponsored health insurance plan, students are charged a non-refundable fee as per the below schedule:

#### ***Health Insurance Fees\* (Inclusive of VAT 5%)***

Student joining beginning of:

Fall Semester (covering September, 2018 – August, 2019):	AED 2,000.25
Spring Semester (covering January, 2019 – August, 2019):	AED 1,386.00
Summer I Term (covering May, 2019 – August, 2019):	AED 735.00

Health insurance fees are payable at the time of visa application and renewed annually on September 1 for each consecutive year.

AUD non-sponsored students are required to have and maintain private health insurance covering all UAE care on a continual basis while enrolled and are responsible for all charges related to their medical care. They can join the AUD-sponsored health insurance plan at the beginning of each semester subject to approval from the insurance company.

#### ***Visiting Students Health Insurance Requirements***

Visiting students are required to provide evidence of valid private health insurance applicable in the UAE, during the Admissions process.

Visiting students requiring AUD residence visa must enroll in the AUD-sponsored health insurance plan as part of the visa process.

Students are charged a non-refundable fee as per the below schedule:

Fall or Spring Semester: AED1,000 (US\$274) per semester

Summer Session: AED735 – (US\$201) per session

*\* Fees are subject to change*



## ***Explanation of Fees and Expenses***

### **Application Processing Fee**

A non-refundable application processing fee of AED420 must accompany the Application for Admission.

### **Reservation Deposit**

A reservation deposit (non-refundable) of AED5,000 (for undergraduate applicants) and AED2,000 (for graduate applicants), which is fully applied toward tuition, is required upon acceptance for admission (provisional or other).

### **Entrance Exam Fee**

Math and English Exam Fee: AED 315 (non-refundable)

Computer Proficiency Exam Fee: AED 150 (non-refundable)

### **Late Registration Fee**

A late registration fee of AED 1,050 will be charged for those registering after the final advising and registration date set for the semester (see *AUD Academic Calendar*).

### **Services Fee**

Services Fee are designated for labs and activities, for undergraduate and IELP students.

### **Books**

Students are responsible for buying their own books. Book expense is not included in the tuition.

### **Graduation Processing Fee**

A non-refundable diploma fee of AED 600 will be billed to students earning degrees.

### **Middle Eastern Studies Certificate Fee**

A non-refundable fee of AED 300 will be billed to students to cover processing and production of the Middle Eastern Studies Certificate.

### **Part-Time Undergraduate Students**

An undergraduate student taking less than 12 credit hours per semester is considered part-time. The fee per 1 credit hour is AED 3,885.

### **Housing (Optional)**

Accommodation is provided by semester for those who wish student housing. The nonrefundable housing fees per semester are:

- AED 8,500 (shared)
- AED 12,500\* (single)

A one-time, refundable security deposit of AED 1,000 is required. This one-time security deposit is payable with the student's first housing payment. Housing charges are subject to change. In the summer sessions, housing fees are AED5,700 for a shared room and AED 8,500 for a single room\*.

*\* Single rooms are not available and will not be guaranteed at all. In the event that there are cancellations and there is availability of rooms, applications for single rooms will be considered.*

A housing reservation fee of AED 2,500 is required to reserve a place in the residence halls. This is payable according to a schedule determined annually

The balance of the student housing fee must be paid in full one month before the beginning of the semester or summer session. Failure to pay the housing fee in full may result in the cancellation of the housing reservation. ***In such cases, the housing reservation fee will not be refunded.***

### **Student Residence Visa (Optional)\***

Only full-time students are eligible. Visa fee, AED 2,000. Passport deposit of AED 3,000 is refundable ***only upon cancellation of visa.***

*Students sponsored by AUD for a student resident visa, who fail to comply with the AUD visa regulations, or who exit the country without going through the proper channels and cancellation procedures will not be entitled to re-apply for an AUD-sponsored residence visa. Accordingly, the students will forfeit their Passport Security Deposit.*

*\*Additional fees may apply, check with the Visa Officer (Emirates ID, blood test, cancellation, etc.)*

### **Course Abroad (Optional)**

AUD Course Abroad Seminars are scheduled annually. The fee, which is determined annually, covers round-trip transportation and hotel accommodations. Students are responsible for their meals. Students may earn three hours of academic credit upon satisfactory completion of requirements set by the trip instructor. Previous Study Tour locations have included New York, Paris, Milan and Florence.

### **Payment Methods**

Tuition and fees are due upon registration, unless a student is registering online, in which case the deadline for payment established by the Finance Office must be respected.

Students can pay for tuition and other fees by **cash**, **check** drawn on a UAE banks, **bank transfer** or through **Credit Card**.

**Cash**

Students can pay cash in UAE dirham at the CASH machine located in front of the finance office, Administration building or at any branch of Al Ansari Exchange in the UAE.

**Bank Transfer**

Payable to the “American University in Dubai”, Account number: 1000351229, IBAN number AE470230000001000351229 at the Commercial Bank of Dubai, Dubai Head Office, and swift code: CBDUAEADDXB. (Must include student name and I.D. number on the payment details).

**Checks**

Payments can be made through checks drawn on any bank operating in the UAE and payable to “American University in Dubai. Students who submit non-negotiable checks will be charged AED 300 non-refundable administrative fee and will henceforth be required to make future payments in the form of cash or bank transfer.

**Credit Card*****Current students***

Payment is made online by logging in to the Student Portal with AUD user ID and password. Online card payment is accepted with no service charge or additional cost.

***New students and guardians***

Payment can be made online by using a secure payment link sent by the finance office. Kindly communicate with [finance@aud.edu](mailto:finance@aud.edu)

**Outstanding Balances**

A student cannot register until all outstanding balances are cleared. Payments will be credited toward outstanding balances before being applied to current registration charges. Transcripts, grades, diploma, graduation/completion letters and certifications will not be issued for students who have not met their financial obligations.

**Interpretation:** Chief Financial Officer  
**Ownership:** Executive Vice-President  
**Publication:** UG Catalog; UG Student Handbook

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
1 July 2009	UG, GR and IELP	Fees changed to reflect 2009-2010 tuition
October 2009	Housing	Word fee replaced by reservation fee
February 13, 2019	All	Terminology and tuition cost

STUDENT RECORDS RETENTION AND STORAGE POLICY	
Effective Date	Fall 2007
Date of Last Update	November 2017

## POLICY AC A-13

### PURPOSE

The purpose of this policy is to establish the guidelines for the retention, maintenance and storage of records containing information on students.

### POLICY

The American University in Dubai is committed to the security, confidentiality and integrity of its student academic records.

#### Definitions by Record Longevity

<b>Active Record:</b>	A record with current use. Student academic records are active from the time of a student's enrollment until the last date of attendance.
<b>Inactive Record:</b>	A record that is not in current use but with recency ( $\leq 4$ yrs. since a student's last date of attendance).
<b>Archived Record:</b>	A record that is inactive: $> 4$ yrs. but $\leq 10$ years since a student's last date of attendance.
<b>Disposed Record:</b>	A record that is willfully destroyed as it is no longer reasonably deemed useful ( $\geq 25$ yrs. [since a student's last date of attendance] for electronic version of physical record.)

#### Definitions by Record Type/Format

Type of Record	Format
<input type="checkbox"/> Transcript	Electronic
<input type="checkbox"/> Other Educational: Admissions, Academic Documentation (including correspondence, Withdrawal/ Incomplete/Change of Grade and Program Forms, Graduation Request, Diploma Awarded, Grade Reports)	Physical/Electronic

## Record Retention/Back-up/Storage by Format

		Physical	Back-up/ Storage	Electronic	Back-up/ Storage
Active	AUD Transcript	N/A	N/A	From enrollment until last date of attendance	Safe in E- Building daily -Remote site (InfoFort) weekly
	Other Educational	From enrollment until last date of attendance	-Records Room -No physical back-up	From enrollment until last date of attendance	-Safe in E- Building daily -Remote site (InfoFort) weekly
Inactive	AUD Transcript	N/A	N/A	≤ 4 yrs. since last date of attendance	Safe in E- Building daily -Remote site (InfoFort) weekly
	Other Educational	≤ 4 yrs. since last date of attendance	Records Room No physical back-up	≤ 4 yrs. since last date of attendance	Safe in E- Building daily -Remote site (InfoFort) weekly
Archived	AUD Transcript	N/A	N/A	> 4 yrs. but ≤ 10 yrs. since last date of attendance	Safe in E- Building daily -Remote site (InfoFort) weekly
	Other Educational	> 4 but ≤ 10 yrs. since last date of attendance	Student Center No physical back-up	> 4 yrs. but ≤ 10 yrs. since last date of attendance	Safe in E- Building daily -Remote site (InfoFort) weekly
Disposed	AUD Transcript	N/A	N/A	Never	Safe in E- Building daily -Remote site (InfoFort) weekly
	Other Educational	≥ 10 yrs.* since last date of attendance	None	≥ 25 years**	Safe in E- Building daily -Remote site (InfoFort) weekly

\*Physical records for “no shows” and/students who cancel or are rejected for admission, not collected within 2 yrs., are destroyed.

Physical records ≥ 10 yrs following last date of attendance are destroyed.

\*\* Backup tapes are transferred on a weekly basis to InfoFort where they are stored for a period of two months. Weekly backup tapes more than two months old are returned to AUD by InfoFort to be deleted and reused. Additionally, monthly backup tapes are transferred to InfoFort where they are stored for a period of 24 months.

### **Protocol for Academic Record Back-up/Storage**

(AUD uses VERITAS Backup Exec 10.0 for backing up the student management system.)

1. Effective Fall 2007, physical records are imaged (by ImageNow) and converted to electronic format. The physical record is kept in the Records Room, with the electronic back-up transferred daily to E-Building and weekly to a remote location ( InfoFort – see 5 and 6 below);
2. When a physical record becomes archival, it is transferred to the Student Center;
3. All records are backed up every day at 11:30 p.m. on HP Storage Works 1/8 Autoloader tape drive. Auto loader automatically loads the corresponding day's tapes when the backup begins. (As of this writing, there are 63 tapes which are rotated for backup on the same day every two months.);
4. The status of the backup is checked the next morning, for success, failure or errors through Job Monitor;
5. After backup, tapes are transferred to the fire-proof safe in E-Building. All electronically backed-up tapes are transferred to a remote location InfoFort) weekly;
6. Each week (Thursday), the tapes are picked up from E-Building and taken for storage at a remote location (currently InfoFort premises).

### **RESPONSIBILITIES**

Protection of physical records against damage or loss is the responsibility of the Registrar who manages the Records Room. This Records Room is restricted to authorized personnel in the Registrar's Office.

IT Services department enforces AD-T-08 Network Data Backup Policy to make sure all electronic records are backed up and protected against loss or destruction in an off-site location.

**Interpretation:** Registrar  
**Ownership:** President  
**Publication:** Internal Policy

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
May 30, 2011	Protocol For Academic Record Back-Up/Storage and Responsibilities	To reflect new vendor and refer to new AD-T-08 Network Data Backup Policy
Nov. 9, 2017	All sections	Updated references to archiving and remote record keeping company



<b>EXAMINATION AND INSTRUCTION LANGUAGE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 15, 2019

## **POLICY AC A-14**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for the administration of exams.

### **Guidelines for Managing Exams and Exam Rooms**

- The language of instruction in the classroom and exams is English at all times and at all events. Faculty and students are expected to communicate in English during all classes, exams, labs, studio sessions, and any other learning event. Classes with learning objectives that require communicating in a language other than English are exempted, e.g., language courses and Arabic track courses of Media programs (MBRSC).
- Faculty members teaching multiple sections of the same course must prepare separate, distinctly different exams for each section or arrange for all the students to take the exam at the same time, which requires the reservation of an adequate exam hall at an appropriate time.
- Faculty members must create exam formats and questions that are appropriate to given subject matter and level of the course, e.g., objective questions, discussion questions, essay questions, problem solving questions, case analysis questions, a combination of the foregoing, etc.
- Single-page printouts of exam question papers must be used for all exams. Use of double-faced prints is not allowed.
- Students are not allowed to talk or share any type of information during the exam.
- All quizzes and exams are assumed to be closed book. Any use of books or notes during a quiz or an exam will be regarded as academic dishonesty unless otherwise authorized and clearly stated on the exam paper.
- Students are may no walk around in the classroom during exams.
- Students must prepare to be in the exam room for the entire exam time. No breaks of any type, e.g., bathroom breaks, will be allowed.
- A student who has a health condition that might make it necessary for him or her to take short breaks (e.g., bathroom breaks) during an exam must inform the Health Center Director early as possible before the exam (i.e., not just before, and not during or after the exam) and provide an official medical report as evidence of the health condition. The Health Center Director will assess the health condition and advise the student as to whether he or she should still take the exam (without breaks being permitted) or should request an incomplete grade until the health condition is resolved. In the latter case, the student will not take the exam and the Health Center Director will initiate an incomplete grade authorization request in the usual way and attach the evidence.

- Depending on the number of examinees, instructors may have to devise a mechanism that ensures an orderly submission of exam papers. For example, instructors may ask students not to stand up even if they have completed their exam. Students must then raise their hand and indicate that they are done with the exam. The instructor will approach the student and collect the exam (while the student is still sitting at his or her desk). Only then would the student be allowed to stand up and leave the exam room.
- A student who leaves the exam room during the exam will not be permitted to return.
- Faculty members must check the exam room for any material or notes before any students are seated. Additionally, instructors must make sure that the whiteboard is clean except for any material that is related to exam instructions.
- Students are not allowed to select their seats in the exam room. Before exams, faculty members should clearly consider the appropriate seating arrangements for students. The optimal arrangement is one that minimizes the probability of cheating or other unacceptable behavior. If the physical space is limiting, then faculty members must arrange for co-proctors.
- Before exams, all unauthorized items must be placed at the front of the classroom. This includes electronic equipment of any type, e.g., phones, smart watches, cameras, flash memory, and all other electronic and media devices.
- During exams, students will be expected to bring sufficient pencils, sharpeners, pens, erasers, as well as (if allowed) calculators. Students are not to attempt to borrow any materials during the exam.
- During exams, faculty members will remain vigilant, and will roam the classroom regularly.
- Online exams must be administered with the same amount of vigilance and care. The following are additional rules that apply to this type of exam:
  - Exam must be in-class (no take-home).
  - Questions must be randomized and if possible disallow students' ability to jump among questions.
  - Students' ability to print screens must be disabled.
- Students will be informed of these exam rules and regulations using various means, e.g., Blackboard™, syllabi, university website, etc. Students must understand that exams are very serious events.
- Students in violation of any of the above rules may be asked to leave the classroom immediately and may be subject to various disciplinary measures as outlined in various official university documents.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 16, 2019	Entire policy	Amended all sections in accordance with current practice.

<b>CLASS SIZE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	Spring 2018

## **POLICY AC A-15**

### **PURPOSE**

The purpose of this policy is to clarify AUD's current practice(s) in class size determination.

### **POLICY**

Although AUD class sizes for some disciplines in the applied arts can be "capped" as low as 15 students, most of the university's classes have a maximum of 30 students. The usual minimum class size is six.

Based upon student demand and in consultation with the Dean of the school housing the course, class size can be increased to 35.

These maximum class sizes have been set with a view to maintaining the quality of the instructional experience, as well as prevailing class sizes at comparable institutions of higher learning. Exceeding these numbers is very rare, and requires the approval of the Provost of the university.

**Interpretation:** Deans and Chairs

**Ownership:** Provost

**Publication:** Faculty Handbook

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
Feb. 11, 2018	Policy	The whole section

<b>LEARNING ENVIRONMENT PRESERVATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AC A-16**

### **PURPOSE**

The purpose of this policy is to describe the principles that AUD faculty, staff, and students should follow in order to create and maintain a learning environment that is conducive to an effective teaching and learning process.

### **POLICY**

All AUD faculty, staff, and students are expected to create and maintain a learning environment committed to an effective learning process. All behavior and events determined to be detrimental to success in any AUD-related academic pursuit, at any location where the AUD teaching and learning process takes place, are prohibited. These include, but are not limited to, the conduction of unauthorized tours of AUD facilities; bringing unauthorized visitors, e.g., children, friends, or other family members, to the campus or any location where the AUD learning process takes place; and unauthorized usage of cell phones, electronic devices, and audio-visuals (if not needed for student learning), especially in the university library, classrooms, meeting rooms or any location where the AUD learning process takes place.

Unless approved by the President, Executive Vice President, Vice President for Institutional Advancement and Development, Provost & Chief Academic Officer or the Office of Central Services, unauthorized visitors are not permitted in AUD classrooms, meeting rooms, studios, non-instructional areas, or any location where the AUD learning process takes place. Authorized visitors, those visitors approved by the President or delegate, are not allowed past the designated reception area without an official escort. It is the responsibility of AUD faculty, staff, and students to meet their authorized visitors in the designated reception area at a prearranged time. No authorized visitors are to be left unsupervised by their escorts at any location where the AUD learning process takes place, including, but not limited to, libraries, cafes, or lounges.

Disciplinary action may be taken should a violation of this policy occur. AUD is not responsible or liable for injuries or harm caused by the intrusion of unauthorized or unsupervised visitors on AUD campus facilities, at official AUD functions, or at any location where the AUD learning process takes place.

**Interpretation:** President

**Ownership:** President

**Publication:** UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Policy	<b>from</b> “Unless approved by the President or delegate” <b>to</b> “Unless approved by the President, Vice President, or the Marketing Communications Office”
January 24, 2019	Policy	Removed outdated terminology and made a provision for authorized use of cell phones and electronic devices.

<b>STUDENT COUNSELING POLICY</b>	
<b>Effective Date</b>	June 2009
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-17**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for counseling practices for students.

### **POLICY**

AUD prides itself in offering quality services to students. To maintain those standards and fully address the personal growth, psychological needs, and emotional wellbeing of our students, AUD provides counseling services. There is no fee required for students to utilize this one-to-one counseling service provided by the Personal Counselor. The Personal Counselor's role is to make an assessment and provide support and guidance for students experiencing personal problems.

### **PROCEDURES**

#### **Eligibility**

Counseling services are available to both undergraduate and graduate students. There is no fee required for students to utilize this service. During a session with the counselor, students can talk about the problems they are facing, explore related thoughts, feelings and understand their personal resources.

#### **Confidentiality**

All communication between a student and a counselor is confidential. The confidentiality of the counseling sessions is protected by the counselor's code of ethics of the APA (American Psychological Association). All student records are kept under an encrypted and password protected online counseling system, and they are not released to others (even within the university community) without the written consent of the student. As the only exceptions, the following staff members have access (as needed): President, Executive Vice President, Provost and Chief Academic Officer, Dean of Student Affairs, Health Center Director and Housing Manager (for resident students).

Information regarding whether or not a student has been seen by a Personal Counselor cannot usually be released without student consent, and requests for this information are evaluated and answered only on a case-by-case basis.

If it becomes clear in the counseling session that there is a real danger to oneself or to others, the counselor is required by their code of ethics to break their confidentiality and inform the Dean of Student Affairs and inform a parent or guardian of the student.

## Access

Students are encouraged to make an appointment with a Personal Counselor to discuss their concerns. Contact can also be made through email or phone or by going to the Administrative Assistant for Student Affairs and booking an appointment.

## Number of Visits

Some students may require only one visit. However, the Counselor generally recommends that the student attend four (4) to five (5) sessions. The first session will generally be one hour in length with subsequent sessions lasting thirty (30) minutes.

## Referrals

The Personal Counselor provides referrals to other qualified, certified, and experienced mental health professionals equipped to aid students with psychological problems, learning disabilities, and/or other serious issues. A list of referrals is also available to students who wish to receive external counseling. In the case where the referred student would like to maintain the involvement of the Personal Counselor, the Counselor may request a copy of the report of the external visit and may follow up with the therapist regarding the student's treatment after the student signs an *Informed Consent Form*.

## Seminars

Throughout each semester, the Personal Counselor also offers seminars and workshops on mental health education and awareness. These are designed to help students identify, understand and respond to general mental health issues.

**Interpretation:** Dean of Student Affairs

**Ownership:** President

**Publication:** Policies Procedures and regulation Manual

SUMMARY OF CHANGES		
Date	Section	Change
17 June 2009	Number of Visits	Text deleted: Counseling Services does not take emergency calls.
August 2009	Interpretation	Changed from Counseling to Dean of Student Services
	Ownership	Changed from Dean of Student to President



REFUND POLICY	
Effective Date	Fall 2008
Date of Last Update	February 13, 2019

## POLICY AC A-18

### PURPOSE

The purpose of this policy is to guide the refunds of tuition, fees, and expenses to AUD students.

### POLICY

AUD students intending to withdraw from the university or from partial courses must submit a written notice to the Registrar's Office. The last date of attendance is used as the official date of withdrawal in all cases for refund calculations. All refunds will be processed within 30 days of request. Refunds are governed by the following schedule:

### REFUNDS

All refund requests will be processed within 30 days and are done in the form of checks or wire transfers. Refunds are governed by the following regulations:

#### (1) Tuition (except IELP)

In the event that a student withdraws or is dismissed from all classes during the term, refunds of tuition and fees will be calculated according to the following schedule:

<b>Schedule</b>	<b>Refund</b>
During Drop/Add*	100%
Until the end of the second week**	50%
Until the end of the third week	25%
After the third week	0%

In the event that a student withdraws from partial classes during the term, refunds will be calculated according to the following schedule:

<b>Schedule</b>	<b>Refund</b>
Until end of Drop/Add***	100%
After Drop/Add	0%

#### (2) Tuition (IELP)

<b>Schedule</b>	<b>Refund</b>
Until the end of Drop/Add	100%
After Drop/Add	0%

### (3) Housing Fees and Charges

The one-time, housing security deposit is refundable at the end of the semester if no housing damage has occurred.

The housing reservation fee is non-refundable and nontransferable unless the student's application for admission is rejected or the student cancels their admission (including conditional) one month prior to the start of the semester for which he or she has paid.

*\*For new students in the first semester of attendance 100% refund with the exception of the reservation and enrollment deposit of AED 5,000 (for undergraduate) and AED 2,000 (for graduate) which is nonrefundable.*

*\*\* Sunday-Thursday*

*\*\*\* The refund amount will be a credit to the student's account and carried forward to the following semester. Non-returning students will receive a refund within 30 days of submitting a request form. Check the AUD Academic Calendar for dates of Drop/Add.*

**Interpretation:** Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
October 2009	All	The words fee and deposit were reserved for clarity
February 13, 2019	All	Amended references changes in tuition refund

<b>STUDENT COMPLAINTS POLICY</b>	
<b>Effective Date</b>	February 18, 2019
<b>Date of Last Update</b>	-

## **POLICY AC A-19**

### **PURPOSE**

The policy is designed to assist students in the resolution of complaints regarding a university's action or lack of action, or about service provided by or on behalf of the university. This policy is not applicable to grade or academic standing appeals.

### **PROCEDURE**

- Students should directly communicate with the person/department with whom he/she has a complaint. It is desirable that student complaints are resolved informally and quickly between the relevant parties before any further action is pursued.
- If the initial attempt to resolve the complaint informally does not result in a satisfactory outcome, the student has the option to file a formal complaint through the *Online Student Complaint System*.
- Upon submission of the online complaint, the academic or administrative unit head in concern is notified of the complaint via an automated email prompting him/her to log into the online portal to resolve the complaint.
- Students will receive an update on the status of their complaint via email within 5 working days from filing the complaint.
- In cases where a student has not received a response on his/her complaint within 5 working days from filing the complaint, the Institutional Effectiveness Office sends an email reminder (at the end of the 5<sup>th</sup> day period) to the academic or administrative unit head in concern requesting expeditious action.
- The academic or administrative unit head who receives the aforementioned reminder email is provided a maximum of 5 additional working days to act on the complaint and respond to the student.
- In the event that the above procedure did not yield reasonable outcomes, or the concerned department/office failed to resolve the complaint, students may consult the Grievance Officer by following the AUD grievance process as stipulated under the *Grievance Policy AC-A-06*.
- The Office of Institutional Effectiveness serves as the facilitator, monitor and record keeper of all activities on the *Online Student Complaint System*.

**Interpretation:** Director, Institutional Effectiveness Office

**Ownership:** President

**Publication:** UG/G Catalog; Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

<b>SCHOLARSHIPS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	Sept 2016

## **POLICY AC A-20**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for the application and award of scholarships.

### **THE HH SHEIKH MOHAMMED BIN RASHID AL MAKTOUM SCHOLARSHIPS FOR ACADEMIC ACHIEVEMENT**

#### **Background and Objective**

In May, 1999, on the occasion of the Second Commencement Exercises of The American University in Dubai held under his patronage, His Highness Sheikh Mohammed Bin Rashid Al Maktoum, Vice President and Prime Minister of the U.A.E. and Ruler of Dubai, announced the creation of scholarships for eligible prospective AUD students. The university's Administration has designated the scholarships to carry Sheikh Mohammed's name, citing how His Highness' gesture reflects a deep commitment to education as the driving force in the accomplishment of Dubai's and the U.A.E.'s public agenda. The H.H. Sheikh Mohammed Bin Rashid Al Maktoum Scholarships for Academic Achievement have been conceived with the objective of rewarding academic excellence and responding to financial need; as such, they will act as an incentive and reward for superior scholastic performance, as well as providing an economic contribution to the acquisition of an American-accredited university degree.

#### **Eligibility**

In order to be eligible for a Scholarship, a high school student must be an applicant to one of AUD's degree programs. High school applicants should have at least a 90% grade average (or equivalent).

#### **Selection Criteria**

Academic performance will be determined by a high school average or CGPA of the last three years. TOEFL®/IELTSTM/SAT® scores will be used in case of ties. It is expected that recipients will have earned an academic status well above the minimum required for admission or continuance in a degree program. Financial need as demonstrated by insufficiency of financial support to fund educational expenses.

#### **Coverage/Renewal**

The scholarship entitles the recipient to a waiver of tuition (25%, 50% or 100%) for one academic year (two semesters [Fall and Spring]) until graduation. The Scholarship does not cover either overloads or courses taken in the Summer terms. The Student must enroll for two successive semesters and carry a full load of academic credits (12 to 16 hours) each semester. The renewal of a scholarship for existing holders will be reassessed once

a year prior to the beginning of the Fall semester and students are expected to maintain a Grade Point Average of 3.0 or above by the end of each academic year. Failure to comply with any of the above could result in the withdrawal of the scholarship\*.

\* Changes in major (program) may result in student forfeiture of the scholarship.

### **Application Process**

In order to apply, a new student must fill out an AUD application for The HH. Sheikh Mohammed Bin Rashid Al Maktoum Scholarships for Academic Achievement within the deadline highlighted on the website. Upon review of an applicant's academic and financial status, results will be shared after the decision is taken by the Scholarship Committee.

### **Repeating a Course**

The Scholarship program will not cover the repetition of any course previously taken and passed at AUD. Withdrawal from a Course Students are allowed to withdraw from a maximum of two courses during the entire period of Scholarship coverage. The penalty for exceeding this two-course withdrawal is reflected in the Financial Information section of the Undergraduate Catalog 2016-2017 (see p. 237).

## **MOHAMMED BIN RASHID SCHOOL FOR COMMUNICATION SCHOLARSHIP**

### **Eligibility**

In order to be eligible for a Scholarship, a high school student must be an Arab National and applicant to the Arabic track of the B.C.I.S. degree program, majoring in either Digital Production and Storytelling or Journalism. High school applicants should have at least a 90% grade average (or equivalent).

### **Selection Criteria**

High School applicants must be exceptional students with an outstanding high school average; i.e. among the top performers in the class, whether from a private or public school. In addition, applicants must submit a portfolio consisting of samples of their literary/artistic work, along with two qualifying essays in Arabic.

### **Coverage/Renewal**

The scholarship entitles the recipient to a waiver of tuition for one academic year (two semesters [Fall and Spring]/30 credit hours) until graduation. The Scholarship does not cover either overloads or courses taken in the Summer terms. The student must enroll for two successive semesters and carry a full load of academic credits (12-16) each semester. Students are required until graduation to contribute by volunteering 40 hours per semester toward outside the classroom learning activities specific to the Mohammed Bin Rashid School for Communication. The renewal of a Scholarship for existing holders will be assessed each year prior to the beginning of the Fall semester and students are expected to maintain a Grade Point Average of 3.0 or above, measured at the end of each academic year. Failure to comply with any of the above may result in the withdrawal of the Scholarship\*.

*\* Changes in major (program) may result in student forfeiture of the scholarship.*

### **Application Process**

In order to apply, a new student must fill out an AUD Application for the Mohammed Bin Rashid School for Communication Scholarship within the deadline highlighted on the website. Upon review of an applicant's academic and financial status, results will be shared after the decision is taken by the Scholarship Committee.

### **Repeating a Course**

The Scholarship program will not cover the repetition of any course previously taken and passed at AUD.

### **Withdrawal from a Course**

Students are allowed to withdraw from a maximum of two courses during the entire period of Scholarship coverage. The penalty for exceeding this two-course withdrawal is reflected in the Financial Information section of the Undergraduate Catalog (see p. 237).

## **THE WILLIAM JEFFERSON CLINTON SCHOLARSHIP AT THE AMERICAN UNIVERSITY IN DUBAI**

### **Introduction**

The William Jefferson Clinton Scholarship at the American University in Dubai seeks to further the goals of the Clinton Foundation to strengthen the capacity of people in the United States and throughout the world to meet the challenges of global interdependence. In partnership with the American University in Dubai, the program will provide American students based in the US the opportunity to expand their educational and cultural horizons by studying in the Arab world.

President Clinton has acknowledged the leadership of H.H. Sheikh Mohammed Bin Rashid Al Maktoum, Vice President and Prime Minister of the U.A.E. and Ruler of Dubai, to make Dubai a model for intercultural harmony and understanding. President Clinton gave public recognition to this during his keynote Address at AUD's Fifth Commencement (June, 2002) in which he cited the multi-cultural composition of AUD's student body consisting of over one hundred nationalities, as a microcosm of Dubai's multi-ethnicity. In this spirit, the Clinton Presidential Foundation and AUD have established this program to encourage others to witness this diversity.

### **Eligibility**

The scholarship is only open to U.S. Citizen Students. In order to be eligible for a scholarship, a student must currently be enrolled as a full-time undergraduate degree candidate at an accredited four-year college/university in the United States. It is expected that recipients will demonstrate exemplary academic achievement. Provision has been made for up to ten students per semester. Preference will be given to students who show interest in being exposed to the Middle Eastern and Islamic cultures for the first time.

## **Program Information**

Clinton Scholars will receive:

- A full waiver of tuition for one term;
- Housing at the American University in Dubai on a shared-room basis

Scholars must carry a full load of academic credit (12-16 hours) during each semester of study and 9 credits during the summer session. If scholars fail to remain in good academic standing as defined by AUD's academic standards or fail to adhere to the AUD code of conduct, program participation will be terminated. Board, texts, transportation and extracurricular activities are the financial responsibility of the student.

## **Application Process**

In order to apply, a student must complete an application for The William Jefferson Clinton Scholars at The American University in Dubai. A student must complete and submit together the following for the application to be deemed:

- The Clinton Scholars Application Form;
- A 500-word personal statement addressing the qualities that distinguish the applicant for The William Jefferson Clinton Scholars Program at AUD;
- One letter of recommendation;
- Official copy of the applicant's current undergraduate transcript showing that the applicant
  - is in good academic standing [i.e., 3.0 CGPA or equivalent] at the institution from which he or she is applying;
  - has completed or is completing one full year of study as a fulltime student at a four-year accredited U.S. college or university;
- A résumé indicating work and leadership experience
- An official Course Approval Form approved by his or her advisor at his or her educational institution, indicating that the applicant is eligible to study abroad and have credits earned at AUD counted towards his or her degree program;
- Students of consent age or their legal guardian(s) must sign the Clinton Foundation Waiver;
- Disclosure of Educational Records Form.



## **Submission deadlines are as follows:**

<b>Term</b>	<b>Deadline</b>
Fall	June 15
Spring	November 15
Summer I	March 15

### **The Daniel Newell Pendergrass Memorial Scholarship**

In memory of Daniel Pendergrass, Instructor in English (CfEP) at the time of his death in 2007, each year the university awards a full-tuition scholarship to the highest-ranking entering student who is placed in IELP 097. Provided that the recipient maintains adequate academic performance, the scholarship is renewable through to completion of IELP 099. Further details and application procedures are available in the Admissions Office.

#### **Scholarships for In-school Students**

Scholarships will cover either 50% or 100% of tuition (for one academic year or one academic year and one summer session.) Books, fees, housing, etc. are not covered by in-school scholarships.

#### **Eligibility**

Students must:

- Have achieved “senior status” (i.e., completed all but 30-32 credit hours) in their degree program;
- Have a minimum CGPA of 3.5; and
- Not have committed any Conduct Code violations.

*\* Individual academic units may add additional criteria.*

#### **Application Procedure**

1. Applications must be submitted during the student’s junior year (before the end of the Spring semester.)
2. An application packet must be submitted to the Scholarship Committee of the academic unit housing the student’s degree program. Application packets must include:
  - cover sheet;
  - letter of application;
  - letters (two) of recommendation from faculty;
  - AUD transcript (unofficial);
  - Statement of Need to be considered as a basis for awarding of the scholarship (optional);
  - evidence of change in financial status of fee-paying agent.

3. The Scholarship Committee
  - meets to review application packets;
  - interviews highest ranking candidates;
  - forwards to the Academic Unit Head a list of approved candidates and their application packets.
  
4. Academic Unit Head forwards list of recommended candidates and their application packets to the Office of the Executive Vice President for final approval of awarding of scholarship(s).

**Interpretation:** Director of Admissions

**Ownership:** Executive Vice-President

**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	All	Adjusted for AY 2009-2010 deadline dates
Sept 2016	All	Adjusted for AY 2016-2017

<b>ACADEMIC PROGRAM NEEDS ANALYSIS POLICY</b>	
<b>Effective Date</b>	April 2009
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AC A-21**

### **PURPOSE**

The purpose of this document is to provide guidelines for market analysis for academic units engaging in the design of new programs or concentrations.

### **POLICY**

Academic units seeking accreditation of new programs, majors or concentrations for must include in the accreditation proposal a well-designed and comprehensive feasibility study as required under the Commission for Academic Accreditation 2011 Standards.

According to the Standards, a well-designed feasibility study is a key document in the proposal and should provide evidence in the form of market data and other studies that responds to the following questions:

1. What is the need for the program, based on market survey of prospective students and of prospective employers of graduates?
2. Who will the students be? Numbers, backgrounds, and other pertinent information must be included.
3. Where will the students come from?
4. Which are the competing institutions offering comparable programs in the same geographic area?
5. Why will students select the proposed institution or program rather than its competitors?
6. Who will hire the graduates of the proposed programs? What is the demonstrated need for graduates who have the learning outcomes the programs propose to provide?

In order to be able to address these questions, schools and academic departments should take into consideration the following:

- Surveys should be conducted among prospective students and their parents, when possible, outside the university's current student body, unless the survey aims to identify current students as potential applicants such as may be the case for graduate programs, concentrations, or certificate programs.

Students in the final two years of their secondary programs within the UAE and the region could be primary targets for these surveys and for focus groups. Student counselors in selected institutions in the UAE and the region could also be canvassed for their input. This research will help determine what types of students would be interested in the proposed programs and concentrations and where they might come from.

- Schools and academic departments should engage the local, regional, and international industry associated with any new program or concentration. Survey and interview instruments should be developed to capture relevant input from practitioners in the industry and from individual companies expected to hire AUD graduates of the proposed programs and concentrations.
- To the extent possible, schools and academic departments should collect national and international data on forecast growth within the industry for the future, allowing the schools and academic departments to show the employability of program and concentration graduates and the sustainability of this employment over one or two decades.
- As schools and academic departments develop their programs to anticipate current and future industry needs for graduates from the proposed programs and concentrations, they should identify all the features of the proposed programs and concentrations that give AUD a competitive advantage over similar programs in Dubai and the region. This can best be accomplished by reviewing programs in the region, tailoring the requirements of the proposed programs and concentrations to carefully identified and articulated industry-requested outcomes, and specifying how AUD's proposed programs are different and how its graduates are better prepared for successful careers in the industry.
- The school or academic department should appoint a task force made up of faculty and, when possible, a steering committee made up of industry and secondary school participants to guide the process of addressing the issues described above and to facilitate data collection and analysis.

**Interpretation:** Director of Institutional Effectiveness

**Ownership:** President

**Publication:** Internal – Policies, Procedures and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change
May 2013	Paragraph 2	Updated to mention <b>2011</b> CAA Standards
January 24, 2019	Policy	Revised syntax

<b>EXTRA-CURRICULAR AWARDS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC A-22**

### **PURPOSE**

The purpose of this policy is to describe the different extra-curricular awards available to students and the nomination criteria.

### **POLICY**

There are two categories of awards: those nominated by the Administration, Faculty and Staff and those selected by the President.

#### **Awards Nominated by the Administration, Faculty and Staff**

##### **Program and Major Awards**

These are awarded to students who have achieved the highest CGPA in those undergraduate programs and majors for which such awards have been created.

##### ***Criteria for Nomination***

- Completion of all degree requirements.
- Highest CGPA in the program or major.
- Satisfaction of eligibility criteria (non-breach of Honor or Conduct Code; other criteria set by the school offering the program or major).
- Criteria specific to the department

##### **Student Leadership Awards**

These are awarded to students who have demonstrated outstanding leadership on campus by bringing students together, creating and implementing activities/events, and/or developing and directing special projects/initiatives.

##### ***Criteria for Nomination***

- Evidence of leadership in a variety of university contexts.
- Well-rounded student, both academically and socially.

##### **Community Service Awards**

These are awarded to students who have actively and consistently dedicated their time to engage in volunteer and other service opportunities throughout the academic year. This may include extensive and intensive work on a special project/initiative.

##### ***Criteria for Nomination***

- Evidence of consistent engagement in a campaign, community organization, volunteer experience and/or significant involvement on a special project/initiative.

**Student Government Association Award(s)**

These are awarded to active member(s) of the SGA who have made significant contributions to the organization and AUD student body throughout the academic year.

***Criteria for Nomination***

- SGA officer or representative for a full academic year.
- Fulfillment and compliance with GPA requirements and position responsibilities.
- Demonstrated evidence of active involvement and participation within the AUD community beyond the scope of their SGA position.

**Outstanding Student Club**

This is awarded to the student club that executes a variety of successful events above and beyond the minimum requirements of Student Activities.

***Criteria for Nomination***

- Demonstrated evidence of strong communication with campus partners (i.e. club officers, faculty advisor, staff/faculty, outside constituents).
- Demonstrated evidence of event planning, organization, promotion, and execution.
- Engaging the student body at large with the aim of attracting and involving a diverse group of students throughout the year.
- Ongoing, visible presence at AUD.

**Outstanding Event of the Year**

This is awarded for an exceptional, student-created and executed activity on campus.

***Criteria for Nomination***

- Brings internal and/or external recognition to AUD.
- Demonstrated evidence of full student participation-planning, organization, promotion, and execution of the event.
- Demonstrated ability to strive and advance beyond unforeseen obstacles and challenges.

### **AUD Ambassador Awards**

These are awarded to students who have brought honor to the University through their first-place achievement in competitions and projects/initiatives in the community.

#### ***Criteria for Nomination***

- Involvement in community competition or project.
- Brings recognition to AUD through their involvement in the project as measured by awards won/media coverage.

### **President's Awards**

#### **Student Excellence**

These are awarded to student(s) who have excelled at AUD through academics and leadership, as well as participation in several university activities, emulating AUD's values and philosophy.

#### ***Criteria for Nomination***

- Academic excellence (GPA above 3.0).
- Evidence of leadership and participation in several AUD activities, events, sports.
- Service to the university and the community.
- Positioned for personal and professional success.

Additionally, the following President's Awards are given at the university Graduation Dinner attended by faculty and staff:

#### **Teaching Excellence**

Awarded to faculty member(s) who have excelled in teaching.

#### ***Criteria for Nomination***

- Demonstrated pedagogical effectiveness.
- Maintenance of high academic standards.
- Outside the classroom mentorship.

### **Institutional Effectiveness**

Awarded annually to a faculty or staff member for a superlative contribution to AUD's institutional effectiveness initiatives.

#### ***Criteria for Nomination***

- Outstanding IE-related achievement (e.g., assessment, continuous improvement, strategic planning,
- learning outcomes).
- Organizational impact.
- Serving to make IE user-friendly and an opportunity for collaboration (as opposed to conflict).

### **Distinguished Service**

Awarded to a faculty or staff member who has made significant ongoing contributions to AUD above and beyond the call of duty. The selected faculty or staff member is one whose impact on the institution is formidable and universally recognized.

#### ***Criteria for Nomination***

- Excellence as determined by job profile.
- Personification of AUD's values.
- Impact by significantly furthering the institutional agenda.
- Enhancement of AUD's image to its various constituencies (internal and external).
- Foreseen legacy.

### ***AUD Annual Athletics Dinner/Awards Ceremony***

The Annual Athletics Dinner and Award Ceremony is held in the spring of each academic year. This special occasion recognizes student athletes who have made exceptional contributions to the AUD community.

### **Outstanding Male and Female Athlete of the Year**

These are awarded to one male and one female student-athlete who demonstrates athletic leadership by regularly contributing and adding value to the team while capturing the spirit of AUD athletics (e.g., sportsmanship, leadership, teamwork, and overall spirit.)

#### ***Criteria for Selection***

- Superior athletic ability.
- A strong motivator with a positive attitude.
- Excellent sportsmanship and teamwork.
- Commitment and dedication by consistently attending practices and games.



**Interpretation:** Dean of Student Affairs  
**Ownership:** President  
**Publication:** UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

STUDENTS' ACCESS TO QUIZZES AND EXAMINATIONS	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AC A-23

### PURPOSE

The purpose of this policy is to define the principles regarding student access to quizzes and examinations

### POLICY

- ***Students have the right to know*** their grade on each and every component that enters into the determination of their final grade for the course, as soon as their work has been graded by the instructor.
- ***Students have the right to review*** all of their graded work and discuss it with the instructor. Graded work may include homework assignments, research reports, tests, quizzes, mid-term examinations, final examinations, and any other work submitted and/or presented by the student, evaluated by the instructor and included in determining the student's final grade. It is expected that instructors will initiate this review process by taking up all graded work during the term in class and going over answers, solutions, etc., and grades assigned for each part while the students are reviewing their graded work. It is also expected that instructors will allocate sufficient time during their office hours to discuss graded work with students.
- ***It is a major violation*** of the most elementary principles of "natural justice," a serious denial of a basic student right and an incomprehensible failure to use students' graded work as a device for enhancing student learning, for an instructor (1) to inform students of their grades but not allow them to review their graded exam papers, assignments, etc., or, worse still, (2) not to inform students of their grades (i.e., keep them in the dark) and not allow them to review their work after it has been graded.
- ***A special note on final examinations:*** Students ***do*** have the right to see their graded final examination papers and should be allowed to exercise this right. (Normally, few would.) This should be done in the instructor's presence, and the student should return the paper to the instructor after reviewing it.

- **Another note on grade appeals:** Students have the right to appeal a grade within one month following the assignment of the grade. The procedure for grade appeals is described in the *Faculty Handbook*. Obviously, students cannot exercise this right if they are denied their right to know their grades and their right to see their graded work and discuss it with the instructor, as described above. The latter right requires that instructors not dispose of students' graded work in their possession for at least one month after the final grade submission date at the end of each term.

**Interpretation:** Deans

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	All sections rewritten to provide better alignment with best practices

<b>SCHOOL OF BUSINESS (SBA) FACULTY QUALIFICATIONS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AC A-24**

### **FQP Introductory Statement**

All faculty members at the American University in Dubai (AUD) School of Business Administration (SBA) must possess appropriate qualifications in their teaching discipline. The SBA is committed to meeting all AACSB accreditation standards including those related to faculty qualifications. As such, the faculty of the SBA must have and maintain the required expertise to accomplish the school mission and comply with AACSB standards. To this end, at least 90% of faculty must be Scholarly Academics (SA), Practice Academics (PA), Scholarly Practitioners (SP), or Instructional Practitioners (IP), with at least 40% being Scholarly Academics (SA) and 60% being Scholarly Academics (SA), Practice Academics (PA), or Scholarly Practitioners (SP).

## **SA Faculty**

### **Initial Academic Requirement**

The primary requirement for faculty to be SA is to hold an earned doctoral degree in their teaching discipline. Faculty members who hold earned doctoral degrees in other disciplines could also be considered Scholarly Academics in the following two cases:

The doctoral degree is in a business discipline other than the faculty member's teaching area; however, the faculty member has been and remains significantly involved in the teaching area by producing intellectual and professional output, attending professional meetings, and undertaking other related activities.

The doctoral degree is in a non-business discipline; however, the faculty member's knowledge and expertise in that discipline is relevant to and can be integrated into the faculty member's teaching area in business.

Faculty members are automatically classified as SA if their doctoral degree was awarded not more than five years prior to the date of the classification.

Additionally, faculty members are considered SA if they are holders of a terminal degree in law (e.g., JD) awarded not more than five years ago, whose teaching area is business law or ethics

### **Maintenance of SA Status**

Maintenance of SA status beyond five years from the award of the doctoral degree requires that faculty members meet the following criterion. In the last five years:

They had at least two articles in their discipline or cognate area. The articles must be published or accepted for publication in refereed academic journals that are ranked by ABDC, Scopus, Financial Times, ABS, SJR and/or JCR.

## **PA Faculty**

### **Initial Academic Requirement**

The initial academic requirements for Practice Academics are the same as those outlined for SA faculty (note that faculty members who were awarded their doctoral degree within no more than five years prior to the date of the classification are automatically classified as SA and not PA).

### **Maintenance of PA Status**

Maintenance of PA status requires faculty members to demonstrate ongoing engagement in activities that allow them to maintain a high level of currency in the practices and applications within their teaching discipline. Specifically, during the most recent five years, faculty must have performed any three of the following activities related to their teaching discipline:

1. Engagement in consulting activities of a significant nature and duration in the private sector or for government agencies and NGOs
2. Development and delivery of professional training and executive education programs
3. Achievement of a professional designation, certification or licensure, or renewal of the same through testing or fulfillment of other required criteria
4. Service on the board of directors of a major organization
5. Ownership or operation of a successful and profitable business or holding a senior management position in a significant private or public sector organization or NGO
6. Producing or significantly contributing to reports on issues related to professional practice (available in the public domain)
7. Publishing intellectual contributions such as applied research papers or technical reports in professional journals.
8. Participating actively in editorial responsibilities for professional journals
9. Participating as a speaker at practitioner seminars or conventions
10. Holding a key position in a professional association

## SP Faculty

### Initial Academic Requirement

The minimum requirements for a faculty member to be considered SP are (1) a master's degree in the teaching discipline and (2) relevant and current business experience of a significant nature and duration.

### Maintenance of SP Status

Maintenance of SP status requires that faculty members meet one of the following criteria. In the last five years:

#### Either:

1. They had at least two articles in their teaching field published or accepted for publication in refereed academic journals;

#### Or:

2. They had at least one article in their teaching field published or accepted for publication in a refereed academic journal plus any three of the following, also in the faculty member's teaching field:

- a) Article presented at a refereed academic conference
- b) Article published in refereed conference proceedings
- c) Other journal articles
- d) Textbooks and other books
- e) Book reviews published in refereed academic or professional journals
- f) Teaching cases (available in the public domain)
- g) Monographs, technical reports and sponsored research reports (available in the public domain)
- h) Chapters in edited compendiums or books of readings
- i) Presentations at academic conferences, seminars, workshops, and meetings of learned societies or professional associations
- j) Major editorial responsibilities (such as editor-in-chief or executive editor) in academic journals
- k) Membership of an editorial board of, or service as a referee or reviewer for academic journals, conferences, conference proceedings or seminar presentations
- l) Articles on business practice or in another area relevant to the faculty member's discipline, published in newspapers, magazines or journals that have national and/or international distribution (including online)
- m) Development of software, algorithms, new applications or methodologies that were adopted by academic users in teaching and/or research and/or by users in the professional or business community

# **IP Faculty**

## **Initial Academic Requirement**

The minimum requirements for a faculty member to be considered IP are (1) a master's degree in the teaching discipline and (2) relevant, continuous and current business experience of a significant nature and duration.

## **Maintenance of IP Status**

Maintenance of IP status requires faculty members to demonstrate ongoing engagement in activities that allow them to maintain a high level of currency in the practices and applications within their teaching discipline. Specifically, during the most recent five years, faculty must have performed any three of the following activities related to their teaching discipline:

1. Engagement in consulting activities of a significant nature and duration in the private sector or for government agencies and NGOs
2. Development and delivery of professional training and executive education programs
3. Achievement of a professional designation, certification or licensure, or renewal of the same through testing or fulfillment of other required criteria
4. Service on the board of directors of a major organization
5. Ownership or operation of a successful and profitable business or holding a senior management position in a significant private or public sector organization or NGO
6. Producing or significantly contributing to reports on issues related to professional practice (available in the public domain)
7. Publishing intellectual contributions such as applied research papers or technical reports in professional journals.
8. Participating actively in editorial responsibilities for professional journals
9. Participating as a speaker at practitioner seminars or conventions
10. Holding a key position in a professional association

## **Other Qualifications (O)**

Faculty members who do not meet the criteria for SA, PA, SP, or IP are classified as "Other Qualifications."

INTENSIVE MODULES POLICY	
Effective Date	January 31, 2017
Date of Last Update	-

## POLICY AC A-25

### PURPOSE

The purpose of this policy is to set parameters for defining, planning and conducting intensive course modules in order to ensure their consistency and alignment with best practices and standards in teaching and learning, and the quality of students' learning experiences.

### DEFINITION

Intensive Modules refer to planned courses delivered over a shorter period of time than the standard semester of 16 weeks. These modules may include short courses offered during a summer term, blended learning courses, seminars, courses abroad, or other programs and courses delivered within a condensed format.

### POLICY

Courses that are delivered in an intensive format are to be exact replications of the courses delivered during a regular 16 week semester. This includes delivering the full content of the approved syllabi and providing students the opportunity to achieve the course learning outcomes. Workloads and expectations are not reduced for these time-compressed courses. Students are encouraged to carefully consider their available time, the course load, and the course difficulty level before registering.

Courses taught in an intensive mode are planned:

- To include longer blocks of instructional time than in standard semesters, and an equivalent number of contact hours and seat time;
- To be based on sound pedagogical standards to allow students sufficient time to prepare, reflect and analyze, and to achieve all course learning outcomes;
- To be offered during summer term with a total student load not exceeding 2 courses. Overloads not exceeding one course during a summer session may be permitted for students carrying a minimum CGPA of 3.00. Different schools may set a higher minimum CGPA and additional requirements.

To ensure that learning outcomes of the courses and programs can be achieved effectively by all enrolled students, only courses that are deemed by the dean of the respective school to be pedagogically suitable to condensed instruction will be offered.



Student services, library access and support, computer laboratories and IT support, catering, health services, and recreational facilities will be made available during the condensed terms. Availability will be based upon appropriate level of demand determined by department heads. Timings, if different from the regular fall or spring semesters, will be announced to all faculty, staff, and students in advance of registration.

Any modifications that are made to the institution’s operations or the delivery of the academic programs in order to accommodate the shortened duration of the course or program are to be fully communicated to the affected students. The Registrar’s Office will communicate these modifications to students affected.

**Interpretation:** Provost and Chief Academic Officer  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Policies, Procedures and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change

<b>COURSE FILES POLICY</b>	
<b>Effective Date</b>	May 2013
<b>Date of Last Update</b>	May 2018

## **POLICY AC A-26**

### **PURPOSE**

The purpose of this policy is to define the process for creating and maintaining the content of official course files.

### **POLICY**

To maintain complete files for each academic course offered at AUD, each instructor is required to prepare a course file with necessary documentation (as listed below). Files are either uploaded to a specific individual department drive or submitted to the department's Administrative Assistant upon completion of the course. It is the responsibility of the academic unit head to ensure all official course files are complete. The collation of course files is used for course and program assessment, accreditation purposes, and to ensure continuity of the course and student assessment within the course. Further, centralized location of official course files and course file contents constitutes basic information for historical and compliance purposes.

### **PROCEDURE**

Course files may be included in electronic or hard copy format as directed by the Dean and should include the following items as per the *CAA 2011 Standards*:

1. Syllabi for the current and previous offerings of the course;
2. Copies of all instructor teaching materials;
3. Copies of all assessment instruments;
4. Instructor worked answers and marking schemes for all assessment instruments;
5. Examples from across the range of student performance of graded responses to all assessments instruments, including:
  - a. One low graded example
  - b. One medium grade example
  - c. One high grade example
6. A comprehensive instructor review (AUD's Course Effectiveness Report) of the presentation of the course, covering:
  - a. Appropriateness of the course learning outcomes;
  - b. Extent to which the syllabus was covered;
  - c. Extent to which the learning outcomes were met (with evidence);
  - d. Appropriateness of textbooks and other learning resources;
  - e. Appropriateness of assessments instruments in relation to learning outcomes;
  - f. Appropriateness of the balance of assessment;
  - g. Appropriateness of prerequisites;
  - h. General comments on any problems encountered with the course;
7. Quantitative analysis of student performance during the course presentation (e.g. grade distributions);
8. Summary of student feedback of the course (Course Evaluation Surveys).

Files are to be stored for a total of five years. Three years on the respective academic unit network drive, and for a further two years in an archived, off-site, format, arranged by the Information Technology Services Office.

It is the academic unit head's responsibility to ensure that all components of the official course file have been filed.

**Interpretation:** Provost  
**Ownership:** Provost  
**Publication:** AUD Policies and Procedure Manual

SUMMARY OF CHANGES		
Date	Section	Change
April 2018	Various sections	Terminology update
May 2018	Policy number and designation	Changed from AD-1-08 to AC-A-26

COURSE SYLLABI POLICY	
Effective Date	Fall 2008
Date of Last Update	April 2018

## POLICY AC A-27

### PURPOSE

The purpose of this policy is to provide guidelines for the creation and distribution of course syllabi.

### POLICY

The syllabi serve as a guide, in accordance with *Stipulation 5 of the CAA standards*, to course content and expected student outcomes and acts as a contract between instructor and student. Faculty are expected to adhere to the syllabus and avoid mid-course changes, especially with regard to assessment policy. Each instructor is asked to submit any changes he/she would like to make in the syllabus for his/her classes to the Dean/Program Chair. Adjuncts are requested to follow the syllabi or receive permission to change it from the Dean/Department Chair.

### PROCEDURE

Each term, Deans/Program Chairs submit to the Provost Office a syllabus for each faculty member for each course(s) being taught. The syllabi serve as a guide to course content and expected student outcomes. In effect, the syllabus acts as a contract between instructor and student. Faculty are expected to adhere to the syllabus and avoid mid-course changes, especially with regard to assessment policy. Each instructor is asked to submit any changes he/she would like to make in the syllabus for his/her classes to the Dean/Program Chair. Adjuncts are requested to follow the syllabi or receive permission to change it from the Dean/Department Chair. This procedure ensures that Academic Affairs has information on file pertaining to course content, materials, scheduled examinations, term papers, attendance policy, etc.

A copy of the course syllabus is distributed to all students enrolled in the course the first week of the new term. A copy of the course syllabus should be placed on the Blackboard course page.

### THE SYLLABUS

For each course offered, an institution must provide a syllabus, which is comprehensive document containing sufficient information to ensure that:

1. those involved in curriculum development understand any prerequisites or co requisites and the learning outcomes of the course;
2. external reviewers understand the course's contribution to the program and its connection to other courses in the curriculum;
3. students who take the course understand what they need to have achieved in order to take the course, what will be expected of them during the course, and what they will have achieved having taken the course;
4. any suitably qualified instructor could deliver the course satisfactorily within the curriculum;

Each instructor is responsible for following the AUD Syllabus Template. In meeting the Commission of Academic Accreditation's Stipulation 5, each course syllabus should include:

1. course title and course code/number, credit hours (or equivalent), prerequisites (if any), co-requisites (if any);
2. name and contact information, and office hours of the instructor;
3. brief course description (as in the Catalog);
4. intended learning outcomes of the course;
5. course topics and contents on a week-by-week basis;
6. scheduling of laboratory and other non-lecture sessions, including online sessions, as appropriate;
7. information on out-of-class assignments with due dates for submission;
8. methods and dates of examinations and other student assessments, including the relative weight of various assessment elements in determining the course grade;
9. teaching and learning methodologies, including any use of online instruction;
10. course texts, recommended readings, instructional material and learning resources;
11. attendance policy (including criteria for assessing class participation);

**Interpretation:** Deans and Chairs

**Ownership:** Provost

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
8 Mar 2010	Procedure	Additional guidelines for syllabi added to match CAA Standards.
18 May 2013	Procedure and the syllabus	Additional guidelines for syllabi added to match CAA standards
April 26, 2018	Policy	Reference Stipulation 5 of the CAA Standards, and changed policy designation form AD-FA-18 to AC-A-27

<b>INDEPENDENT STUDY POLICY</b>	
<b>Effective Date</b>	May 2018
<b>Date of Last Update</b>	-

## **POLICY AC A-28**

### **PURPOSE**

The purpose of this policy is to provide definition, criteria and guidelines for independent study, and the procedure by which Independent Study requests are submitted, reviewed and approved.

### **DEFINITIONS**

- An Independent Study (IS) is a section of a course that is taught in a different mode of delivery than conventional classroom lecturing. This may be done through one-on-one mentoring, guided reading, audio-visual instructional tools, and/or lab or studio projects.
- In order to seek approval to offer a course as an IS, a two-page Form titled "Request for Exception to Regular Class Offering" needs to be completed. The Form is available at the Provost's Office.

### **POLICY**

- Independent Study requests should be initiated by the Dean only in exceptional cases, upon determining that there is a genuine, verifiable, academically justifiable need for offering a course to one or a few students, in a different format from regular class offerings.
- Courses that require team work or collaborative effort among students or external parties to the university do not qualify for independent study.
- The IS section is listed under the same course code as the corresponding regular course, but has a section suffix of "ISA" (e.g., UNIV100-ISA).
- No more than one IS section of a particular course is offered in a given term; however, an IS section may have more than one student enrolled.
- The IS must provide the same academic content, course learning outcomes, level of academic rigor, and student effort as the corresponding course.
- Reasons justifying the offering of a course as an IS are normally limited to the following:
  - A student is following an old curriculum, and a required course is no longer offered;
  - A student is out of sequence due to verified university-related reasons, and a delay in taking a course will result in delay in graduation;
  - Enrollment in a required course is too low to permit regular class offering, and class cancellation will result in delay in graduation;
  - A verified special need, disability, health condition, or extenuating circumstance prevents a student from attending regular classes; or
  - A scheduling conflict exists between two required classes, and a delay in taking either course will result in delay in graduation.

### **STUDENT REQUIREMENTS:**

- A minimum CGPA of 2.5 is required for undergraduate students; and 3.0 CGPA for graduate students. A 3.00 CGPA is required for undergraduates if independent study is taken in a summer term in accordance with the **Intensive Modules Policy-AC-A-25**.
  - Independent Study is limited to undergraduate students who have completed a minimum of 60 credits; or graduate students who have completed a minimum of 15 credits.
  - Students must have a declared major or degree program in order to be eligible to register in an IS.
  - Requests, with all final approval signatures, must be completed and the final approved form submitted to the Registrar no later than the 1st day of the semester in which the IS is offered.
  - The student must meet with the IS instructor for at least one hour per week during a regular semester, or two hours per week during a summer term. The instructor must ensure that the pace of coverage of the IS material mirrors that of a regular offering.
  - Student is required to document 3 hours of participation (inclusive of the weekly meeting with instructor) in the IS-related activities per week for each credit hour requested. *Note: the summer semester ratio for student participation per credit hour must be higher to meet instructional time requirement.* Students must keep a log of these hours.

### **FACULTY REQUIREMENTS:**

- The instructor of record must be a full time faculty member within the Program issuing the IS course.
- Faculty provides direct, not indirect, supervision of the independent study.
- The IS is subjected to the same filing and record-keeping requirements as the corresponding regular course, including syllabus, course files, CER, and grades.

### **PROCEDURE**

- The request for Independent Study is initiated by the Dean of the School offering the course. A special two-page Form titled "Request for Exception to Regular Class Offering" is available at the Provost's Office.
- The Dean is responsible for identifying and seeking approval of the IS instructor, in consultation with the Department Chair, where relevant.
- The final decision on the IS offering rests with the Provost, who will forward the Form to the Registrar upon approval.
- The faculty member teaching the IS will be compensated in the form of an overload if the IS is assigned over and above the regular teaching load. The amount of compensation will be determined according to the pro-rata formula in use by the HR and Finance Offices.

**Interpretation:** Provost

**Ownership:** Provost

**Publication:** Student Handbook, and Undergraduate and Graduate Catalogues

SUMMARY OF CHANGES		
Date	Section	Change



<b>TEACHING LOAD POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	August 2018

## **POLICY AC A-29**

### **PURPOSE**

The purpose of this policy is to provide guidelines for the teaching loads of deans, associate deans, chairs, program coordinators, and full-time and adjunct faculty.

### **POLICY**

Faculty workload assignments must be equitable and reasonable taking into account the range of faculty members' responsibilities, including different course preparations, course enrollment, level of courses taught, thesis supervision, research and other academic responsibilities. In addition, AUD will endeavor to limit different course preparations to six per academic year. The following is an outline of the normal and reduced faculty workload:

#### **Normal Teaching Load:**

<b>Employment Category</b>	<b>Credit Hours</b>
Full-time faculty teaching only in undergraduate programs	12
Full-time faculty teaching only in graduate programs (excluding thesis supervision)	9
Full-time faculty teaching only in undergraduate programs in summer terms	6
Full-time faculty with Graduate Faculty Status (GFS) teaching only in graduate programs in summer terms	3
Adjunct faculty	6

#### **Reduced Teaching Load:**

<b>Employment Category</b>	<b>Load</b>
Full-time faculty with Graduate Faculty Status (GFS) teaching in both graduate and undergraduate programs (excluding thesis supervision)	Reduction of 3 credit hours at the undergraduate level for every 9 credit hours taught at the graduate level in a given academic year (two semesters)
Full-time faculty with Graduate Faculty Status (GFS) supervising graduate theses	Reduction of 3 credit hours for every 3 graduate theses supervised (once the final grades are submitted)
Chairs and Program Coordinators teaching in undergraduate programs	Reduction of 3 credit hours based on the normal full-time undergraduate faculty load
Chairs and Program Coordinators teaching only in graduate programs	Reduction of 6 credit hours based on the normal full-time workload of a faculty teaching only in graduate programs
Chairs and Program Coordinators teaching in a summer term	Reduction of 3 credit hours based on the normal teaching load in summer terms

Associate Dean	Reduction of 6 credit hours based on the normal full-time faculty load
Dean	Two courses per teaching cycle

### Guidelines for Teaching Load and Overload

- a. A normal teaching load at the undergraduate level is twelve credit hours with up to fifteen contact hours per week per semester.
- b. In those academic units in which a substantial portion of the instructional experience is laboratory or studio based per semester (e.g., Architecture, Communication, Engineering, Interior Design and Visual Communication), teaching loads are set on a contact hour basis, with the required amount of contact judged to represent a load that is equivalent to that of the twelve credit hours previously cited.
- c. For the purposes of regular teaching load and overload, lab and studio hours are calculated at the rate of two contact hours per one credit hour.
- d. Under circumstances where teaching overload is inevitable, compensation is to be provided either through an equivalent reduction of the faculty's teaching load the following semester or through financial compensation at the university's approved rate.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
27/8/2015	Policy	Added program coordinator workload, categorized teaching load, revised program coordinator
27/9/2015	Policy	Workload teaching at graduate level or summer terms, and included a statement noting the range of faculty responsibilities
15/5/2018	Policy	Updated policy to reference graduate faculty teaching in the summer term; and updated outdated course references.
07/8/2018	New Section	Added a new section "Guidelines for Teaching Load and Overload and amended the policy regarding overload compensation.

<b>UNDERGRADUATE ADMISSIONS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AC-U-01**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for admission into AUD's undergraduate programs.

### **POLICY**

A hallmark of AUD is its culturally diverse student population. AUD students come from many different countries and backgrounds and bring a wide range of viewpoints, special interests and talents to enrich the learning community. Selection of students is based on an individual assessment of each applicant. Final acceptance is not granted until the university has received all required admissions documents.

#### **First-Time Freshmen**

AUD seeks well-rounded students who demonstrate a probability for success in the institution's programs of study. To this end, AUD will take into consideration such factors as high school completion, leadership and student activity records, scholastic achievement test scores, evidence of school and community service, student work or employment records, and distinctive talents or abilities possessed by applicants.

#### **College Transfer Student**

AUD seeks students who can build on their previous university educational experiences and move successfully to complete degree programs of study. In applicable academic programs, transfer credit may be accepted by AUD from recognized institutions. Courses accepted for transfer must be relevant to the program of study, and the content and outcomes must be considered as equivalent to the courses and outcomes of the AUD degree program.

### **PROCEDURE**

#### **General Admissions Requirements**

All students seeking admission to the university must submit the following:

- A completed Application for Admission.
- An official high school/secondary school certificate or its equivalent as approved by the Ministry of Education and an official attested high school/secondary school transcript (academic record) covering the last three years and reflecting a good academic standard. (Required averages vary by school systems. Students should consult AUD's Admissions Office for pertinent requirements.)
- High School Diploma, original to be verified.

## High School Certificate Attestation

- For British qualifications, the following standard applies to IGCSE/GCE: grade “C” or above. AS-level and A-level will also be considered with a minimum grade of “D”. A combination of seven subjects (O/AS/A) or four subjects (AS/A) is required. These subjects must cover at least four areas out of the following: Math, Languages, Sciences, Humanities/Social Sciences, Arts and Design. Proof of completion of grade 11 is required for students applying with IGCSE subjects, reflected through the submission of the official high school transcripts to the admissions office.

True copy of certificates should be attested by the appropriate authority as stated below:

- Grade 12 transcripts obtained in the U.A.E. must be attested by the appropriate authority of the U.A.E. Ministry of Education following the referring educational zone.
- High school diplomas and grade 12 transcripts obtained abroad must be attested by:
  1. Ministry of Education of home country
  2. Ministry of Foreign Affairs of home country
  3. U.A.E. Embassy in home countryOR
  1. Ministry of Education of home country
  2. Embassy of the country of study in the U.A.E.
  3. U.A.E. Ministry of Foreign Affairs
- Equivalency letter is also required from the appropriate authority of the U.A.E. Ministry of Education following the referring educational zone for students who graduated from the U.A.E. or the U.A.E. Ministry of Education for students who graduated from outside the U.A.E..
- English Requirements: International TOEFL® (see chart below for scores) or Academic IELTS™ or EMSAT or the equivalent score on another internationally-recognized exam (English). AUD’s international code for TOEFL® is 0063. PBT is accepted from specific centers in the U.A.E.. Students should consult with the Admissions Office for further details. Students also have the option to take the University-administered English ACCUPLACETM Exam
- For secondary school graduates following the MOE and ADEC curricula, the below is required. The underlined is specifically for Engineering students.

Students from the General track:

90% Min. average in year 12

90% Min. in the Math and the scientific courses (Physics, Chemistry, Biology)

Pass a preparatory course in Physics at the university.

Any additional Admissions requirements set by the Admissions office

Pass the National exams with the required score

Students from the Advanced track:

Achieve the min. score required for acceptance in the university of choice

Any additional Admissions requirements set by the Admissions office

Pass the National exams with the required score

Students from ADEC track:

Pass the advanced math (level 3) and the advanced physics courses (level 3) in High school. Achieve the min. score required for acceptance

Any additional Admissions requirements set by the Admissions office

Pass the National exams with the required score

International TOEFL®, Academic IELTS™ or EMSAT

	Total	Essay/Writing
<b>Paper Based</b>	550	4
<b>IBT</b>	Min. 79	24
<b>Academic IELTS</b>	6.5	6.5
<b>EMSAT</b>	Min. 1550	CI

- Math Requirements: The university administers the ACCUPLACERTM Exam (Math) to place students in the appropriate Mathematics course. In all programs other than the Engineering and Architecture Program, students may substitute the SAT® for the Math placement provided they achieve the minimum score of 560 in Mathematics. AUD's international code for SAT® is 2688.

SAT® Reasoning Test

SAT® Reasoning Test	
	Total
<b>Math</b>	Min. 560

- Two passport-size photographs, valid passport photocopy, visa validity page, and Emirates ID.
- Completed Health History Form. This form must be signed and stamped by a physician.
- Financial Requirements: Non-refundable application fee of AED 420.

A reservation deposit (non-refundable) of AED 5,000, which is fully applied toward tuition, is required upon acceptance for admission.

### **Admissions to the School of Engineering**

In addition to satisfying AUD's general admissions requirements, admission to the School of Engineering is contingent upon satisfying either of the following two requirements:

- Minimum SAT Score: Applicants must take the SAT® Test and secure minimum score of 560 in Math. It is highly recommended that this test be taken by November of the senior year of high school. (SAT username and password required for verification).
- Successful Completion of the AUD Pre-Engineering requirements: Applicants must successfully complete a sequence of Math, Science, English and Computing courses, which must be all taken at AUD. Details of the AUD Pre-Engineering requirements are outlined in the School of Engineering section of this Catalog. Students who fail to satisfy the AUD Pre-Engineering requirements may be granted admission to the School of Engineering only upon securing the minimum SAT MATH 560 score.

Further requirements for Applicants to the School of Engineering:

- Math readiness and placement into an appropriate math course will be determined by the university administered ACCUPLACER™ Exam. Students who have the equivalent of MATH 210 transferred from another recognized university will be exempted from taking this Exam. It should be noted that Pre-calculus (MATH 110) credit will not be considered in fulfillment of any of the School of Engineering program requirements.
- Engineering students must have completed secondary school course work in Physics and two other laboratory sciences. Applicants who have not completed such course work at the secondary school level will be required to do remedial course work in science prior to taking sophomore-level Engineering courses.
- Engineering students are required to take the university's Computer Proficiency Exam prior to their first term of admission into Engineering. A student who fails the Exam will be required to enroll in and pass COMP 101 within his or her first term of admission. In such cases, COMP 101 credit will not count towards any of the School of Engineering program requirements.
- Students who fail to meet the Pre-Engineering or SAT requirements may continue their studies at AUD in a discipline other than Engineering, provided they are accepted for admission into a new program. The university does not assume any responsibility for loss of credit due to the student's change of program

## **Admissions to the Bachelor of Architecture (B.Arch)**

In addition to satisfying AUD's general admissions requirements, students who are admitted to the B.Arch. program must submit a portfolio online (<http://applyonline.aud.edu/arch/>), consisting of:

- Three (3) artworks of the student's production, which may include but are not limited to paintings, drawings, photographs, models, calligraphy or animation – please note that relevance to architecture is encouraged;
- A short paragraph commenting on each work of art;
- Photos of three (3) buildings selected worldwide;
- A short paragraph justifying the choice of each of the three (3) buildings (100 words);
- The university ACCUPLACERTM Math Exam.

Students who have the required SAT scores for Math, are required to sit for the Math Accuplacer exam at AUD. Math readiness and placement into an appropriate math course (MATH105 or MATH205) will be determined by the university-administered ACCUPLACER™ Exam. AUD's international code for SAT is 2688.

\*Architecture students who are exempted from MATH 105 should replace it with IDES 191 (Interior Design Studio I: Visual Expression and Composition).

## **Admissions to the Certificate in Middle Eastern Studies**

General Requirements in order to qualify for admission to the Certificate in Middle Eastern Studies program, students must:

Be in good academic standing at AUD or their primary university of study;

- Be pursuing or having pursued a bachelor's degree at an institution accredited by the MOE-HEA in the U.A.E. or by the relevant national or regional institutional accrediting body in the case of international applicants; or have earned a bachelor's degree at an institution accredited by the MOE-HEA or by the relevant national or regional institutional accrediting body in the case of international applicants;
- Have successfully completed ENGL 102 (Advanced Composition and Research) or its equivalent for students coming from institutions in which English is the language of instruction;
- Satisfy all other requirements for admission to AUD (see pp. 16-18 of the current Undergraduate Catalog);
- Satisfy the English language requirements for students coming from institutions in which English is not the language of instruction.

### **English Language Requirements**

All students must achieve an Internet-based TOEFL® score with min. 79+ (writing skills range 24-30), or Paper Based TOEFL administered by AMID-EAST in the UAE with min. score of 550 (writing 4.0 or above) or a minimum score of 6.5 in Academic IELTS™ (with 6.5 in Writing), or an equivalent score on a test approved by the MOE-HEA in order to qualify for admission at AUD.

## Exceptions

- A native speaker of English who has completed his or her undergraduate education in an English medium institution in a country where English is the official language;
- A student admitted to and graduated from an institution in which English is the language of instruction who can provide evidence of having achieved a TOEFL® score of 500 or its standardized equivalent approved by the MOE-HEA upon admission to the undergraduate program;

## Transfer Students

In addition to the above requirements, students transferring into AUD should submit:

- Official/attested transcripts reflecting courses for which transfer credit is sought (Transfer Students must be in good academic standing [i.e., with a minimum 2.0 CGPA on a 4.0 scale or equivalent] at the institution from which they are transferring. AUD may require higher than this 2.0 minimum CGPA. As this depends on the university from which the student is transferring, all transfer applicants should consult the AUD Admissions Office for the requirement pertinent to his or her institution).
- Students transferring from American accredited universities are required to submit an official sealed transcript issued at a recent date to the time of application. E-transcripts should be sent directly to the Admissions Office.
- Students transferring from non-American accredited universities should submit an official transcript bearing the original stamp from the Ministry of Education in the country of study.
- Confirmation of university records. Form should be e-mailed directly from the student's university to the Admissions Office at AUD.
- Syllabi for all courses for which transfer credit is sought (Students should be aware that they will be held responsible for enrolling in any course at AUD prior to receipt of required course descriptions.). Separately, requests for transfer credit that accompany late applications (i.e., those received two months or less prior to the original date of entry) may not be processed prior to the beginning of the semester of first enrollment.

Regulations governing the awarding of credit by examination and transfer credit are contained in the Advanced Standing and Transfer Credit Policy AC-U-03.

## Visiting and Study Abroad Students

Students joining AUD for one semester or more with the intention of transferring credits back to their home institution should submit the following documents. Please make sure that the following items are included with your application, your admission will depend on the receipt of all necessary documents that are required throughout the review of your application.

- Completed Admissions Application for Study Abroad/Visiting
- Official College Transcript (sealed). A minimum CGPA of 2.0 on a 4.0 scale or the equivalent of good academic standing is required. E-transcripts should be sent directly to the Admissions Office
- English Requirements: International TOEFL® (see chart below for scores) or Academic IELTS™ or the equivalent score on another internationally-recognized exam (English).



AUD's international code for TOEFL® is 0063. PBT is accepted from specific centers in the U.A.E.. Students should consult with the Admissions Office for further details. This requirement may be waived for students who are studying at English medium institutions.

<b>International TOEFL® or Academic IELTS™</b>		
	<b>Total</b>	<b>Essay/Writing</b>
<b>Paper Based</b>	<b>550</b>	<b>4</b>
<b>IBT</b>	<b>Min. 79</b>	<b>24</b>
<b>Academic IELTS</b>	<b>6.5</b>	<b>6.5</b>

- Completed Course Approval Form from the student's university for the courses to be taken at AUD and are targeted for transfer to the student's program at the home institution.
- Completed Registration and Enrolment Form.
- Completed and signed by the student: (1) Waiver and Release, (2) Consent to Release Education Records, (3) Declaration, and (4) Acknowledgment.
- Two recent passport-size photographs; passport photocopy with validity page; and photocopy of valid health insurance card covering the U.A.E.
- Non-refundable application fee of AED 420/US\$ 115. A reservation deposit (non-refundable) of AED 5,000/US\$1,370, which is fully applied toward tuition, is required upon acceptance for admission. Visiting students from one of AUD's partner exchange institutions are exempt from these fees. The list of approved institutions is available online.
- Completed Health History Form. This form must be signed and stamped by a Physician.
- Visiting students interested in applying to AUD for a degree program must be in good academic standing [i.e., with a minimum 2.0 CGPA on a 4.0 scale or equivalent] at the institution from which they are transferring. AUD may require higher than this 2.0 minimum CGPA. As this depends on the university from which the student is transferring, all applicants should consult the AUD Admissions Office for the requirement pertinent to his or her institution.

### **Applicants for a Second Degree**

Applicants for a second undergraduate degree must provide a written petition explaining the rationale behind their application. An applicant may not apply for a second degree in the same field of study. The petition will be evaluated by the head of the academic unit (Dean, Associate Dean or Chair) offering the second degree to determine the level of similarity between the first and second degrees, and approval of the petition may or may not be granted accordingly. Once enrolled, an applicant for a second degree may not change his or her program without the approval of the Provost and Chief Academic Officer. Credits from the first undergraduate degree are transferable following the same policies and procedures as for regular transfer students. Students can apply for a second degree with the Registrar's Office. If they have interrupted their studies for more than one year, then they must re-apply to AUD and re-activate their file with the Admissions Office.

### **Readmission Following Interruption of Degree Progress**

Students who seek re-entrance following a period of suspension must follow the procedures listed on pp. 84-85 of this Catalog under "Readmission from Academic Suspension." Regardless of his or her academic status at the time of leaving AUD, if the period of interruption of degree progress is for one calendar year or more, the student must reapply to the university through the Admissions Office. Returning students will be required to complete the degree requirements as stated in the Undergraduate Catalog in effect at the time of their re-enrollment. Should the student have taken courses at another institution during his or her absence from AUD, a minimum CGPA of 2.0, supported by an official transcript, is required for re-admission. The granting of transfer credit is at AUD's discretion. AUD may require higher than a 2.0 minimum CGPA. As this depends on the university from which the student is returning to AUD, all returning students should consult an AUD Admissions Office for the requirement pertinent to the institution attended during the interruption of degree progress.

### **High School Certificate Attestation**

- For British qualifications, the following standard applies to IGCSE/GCE: grade "C" or above. AS-level and A-level will also be considered with a minimum grade of "D". A combination of seven subjects (O/AS/A) or four subjects (AS/A) is required. These subjects must cover at least four areas out of the following: Math, Languages, Sciences, Humanities/Social Sciences, Arts and Design. Proof of completion of grade 11 is required for students applying with IGCSE subjects, reflected through the submission of the official high school transcripts to the admissions office.

True copy of certificates should be attested by the appropriate authority as stated below:

- Grade 12 transcripts obtained in the U.A.E. must be attested by the appropriate authority of the U.A.E. Ministry of Education following the referring educational zone.
- High school diplomas and grade 12 transcripts obtained abroad must be attested by:
  1. Ministry of Education of home country
  2. Ministry of Foreign Affairs of home country
  3. U.A.E. Embassy in home countryOR
  1. Ministry of Education of home country
  2. Embassy of the country of study in the U.A.E.
  3. U.A.E. Ministry of Foreign Affairs

### **Retention of Applicants' Records**

Students should be aware that all original records, letters and other documents provided to AUD as part of the admissions process will remain university property. Students are required to submit copies of the original documents, with these copies bearing the original required stamps and attestations. Official English translations of all supporting educational documents must be submitted. Translations must be literal (i.e., word-for-word). Physical records for rejected, cancel and no-shows, which are not collected within two years of submission, are destroyed.

**Authenticity of Credentials**

The university reserves the right to evaluate the adequacy of all credentials submitted for admission. Furthermore, students are reminded that omission or falsification of information constitutes sufficient reason for rejection or dismissal. This dismissal, requiring the President's approval, may occur at any time during a student's residence at AUD; that is, upon discovery of the omission/falsification.

<b>ENROLLMENT AND REGISTRATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	May 2018

## **POLICY AC-U-02**

### **PURPOSE**

The purpose of this policy is to outline the standards for the enrollment and registration of undergraduate students at AUD. It defines terms and describes the procedures to be followed in the enrollment and registration process.

### **DEFINITIONS**

#### **Academic Credit Hours**

One unit of academic credit is awarded for each scheduled class hour (clock hour) per week; e.g., three hours of academic credit is equal to approximately three hours in the classroom per week. Therefore, for every three hours of academic credit awarded, the student receives approximately 45 hours of instruction. All classes earn three semester credit hours unless otherwise designated.

#### **Academic Year**

AUD's academic calendar operates on the semester system with each semester consisting of approximately 15 weeks in length. AUD defines the academic year as a period of time in which a full-time student is expected to complete two semesters (Fall, Spring) of instructional time. The Summer sessions are optional and fall outside the academic year. A full-time student is expected to complete a minimum of 24 credits within the academic year. (Students on the University's visa must register for 12-16 credits per semester in the Fall and Spring semesters, in order to maintain the required full-time status).

#### **Undergraduate Classification**

A student's enrollment status or classification is based upon the number of credit hours completed. A student with 0-30 credit hours is a freshman, a student with 31-60 credit hours is a sophomore, a student with 61-90 credit hours is a junior and a student with more than 90-credit hours is a senior.

#### **"Program" and Major"**

Per the nomenclature of the university, the term "program" refers to an academic discipline pursued by a student. "Major", on the other hand, means a specialization within that Program. For Example, Business Administration, Interior Design and Visual Communication are Programs. The School of Engineering offers five degree Programs: Civil, Mechanical, Computer, Electrical Engineering -as well as Construction Management in the Engineering graduate program. Marketing, Finance and Management are examples of Majors within the Business Administration program.

The number of credit hours required by each Program is clearly stated in the appropriate sections of this Catalog. Optional Majors, where applicable, are also listed together with the required credit hours for each.

## **POLICY**

### **Academic Advising and Registration**

Students receive advising and are registered for their first semester at AUD by an Admissions Representative. Once a student has completed 45 60 credit hours, an Advisor's signature is no longer required in order to register. However, Engineering Students are advised and must obtain prior approval from their Academic Advisor throughout their residency at AUD. (see also Advising Policy AC-U-06).

### **Audits**

A student may audit a course at his/her discretion and with the permission of their advisor. An audited (i.e., not-for-credit) course may not be taken for credit at a later date. The normal fee schedule governs audited courses.

### **Academic Proficiency Assessment**

The assessment of academic proficiency via the administration of English, Math, and Computer Placement Exams is conducted for all students applying for undergraduate status at AUD to determine their level of academic proficiency in language, reading, mathematics, and computing to ensure success in their university degree program of study. If it is determined that a student does not possess the minimal standards of proficiency in these areas, he or she will be enrolled in an appropriate developmental course.

### **Academic Program/Concentration Changes**

Students may change their Program of study at any time with the approval of the Dean/Program Chair of the new Program. It is the prerogative of the new department to set the conditions (if any) for approving these changes. Students are advised to discuss changes with the appropriate Dean/Program Chair as these may cause a delay in graduation. Formal notification of an unapproved change is forwarded to students in writing by the office of the Registrar. All approved changes are reflected in the students' Degree Audits in the term following the approval of the changes.

### **Course Load**

The normal academic load at the university is 16 credit hours per semester (Fall and Spring). Students wishing to carry additional hours may do so with the permission of their advisor. Overloads are permitted only for students in good academic standing (i.e., carrying a minimum 2.5 CGPA) and pursuant to approval of the school dean; and occasionally, depending on the courses comprising the student's proposed schedule, a higher GPA may be required.

The normal academic load for the summer term is 6 credit hours. Overloads not exceeding 3 additional credit hours during a summer session may be permitted for students carrying a minimum CGPA of 3.00. Different schools may set a higher minimum CGPA and additional requirements.

### **Computer Proficiency Examination**

Students who believe that on the basis of computer proficiency acquired prior to joining university they should be exempt from taking COMP 101 may sit for the AUD Computer Proficiency Examination. ***If exempted, the student will be required to substitute COMP 101 with COMP 103 or ENGG 140. Students applying to any of the Engineering majors,*** are required to take the university's computer Proficiency Exam prior to their first term of admission into Engineering. A student who fails the Exam will be required to enroll in and pass COMP 101 within his/her first term of admission. In such cases, COMP 101 will not count towards any of the School of Engineering program (*Engineering majors are not required to substitute any course if they have been exempted from COMP 101*).

### **Course Sequencing**

Students should consult the course sequencing charts in the Program-specific sections of the current Undergraduate Catalog.

### **Developmental Studies**

Developmental studies courses enable the University to accept students (into either mathematics or English courses) who require academic support to develop basic academic proficiency in the areas of mathematics and English. Enrollment in all developmental courses is determined by placement exam scores. Developmental courses carry no university credit; however, these courses will appear on the student's transcript and will be calculated in a student's academic progress. Students in the IELP Program have not been accepted into the University as degree candidates. "P" is the minimum passing grade in all developmental courses.

### **Drop and Add**

Students may make schedule changes without penalty during each semester's Drop/Add period. Only those students with less than 60 credit hours and Engineering students are required to obtain their advisor's approval to drop/add a course. Drop/Add is not allowed outside this period.

### **Declaration of Program/Major**

All undergraduate students must declare both their choice of a degree program and, if applicable, major prior to their Junior year (i.e., by the completion of 60 credit hours). Undecided students must do so by submitting an online Change of Major request through the Registrar's Office webpage (<https://registrar.aud.edu/>). Students wishing to change their degree programs and/or Majors must fill the application online, available through the same link (<https://registrar.aud.edu/>).

### **Eligibility for Foreign Language Study**

Students educated in a language other than English or who have earned two years of high school credit or its equivalent in that foreign language (regardless of the grade received) are not eligible to register for courses in that foreign language at the 101 level. Students desiring to study at a more advanced level (i.e., 102 and above) should consult the Liberal Arts Program Chair to obtain authorization to register.

### **English as a Prerequisite**

University-level competency in English is instrumental in student success at AUD. Where ENGL 101/ENGL 102 are indicated as specific pre-requisites to a course, the prerequisites will be rigorously enforced. Furthermore, even if ENGL 102 is not explicitly stated as a prerequisite, students should never register for a 300 or 400-level course without having completed ENGL 102. The same is advisable for most 200-level courses, which as a minimum, require the completion of ENGL 101. The completion of ENGL 101/102, required by all academic programs, will help students complete program-specific course work successfully. Students should consult their academic advisor if they have any questions.

### **First Year Experience**

AUD recognizes the challenge of attending a university for the first time and supports the success of all new undergraduate students through a first year experience program. The program includes a comprehensive campus orientation, workshops and a course on university success. During orientation, student orientation leaders acquaint students with the campus environment and the city of Dubai, explain policies and procedures, and conduct a variety of activities to introduce the students to the university experience. Further orientation takes place throughout the year through student activities, which may include seminars, workshops, tours and informal discussion sessions. UNIV 100 (The University Experience) course helps to maximize a student's ability to benefit from higher education and to ease his or her transition into the university environment. Exception: Students aged 23+ years or students who have completed one year of study at a recognized college or university, having successfully completed five courses (semester-basis) or nine courses (quarter-basis), are not required to take UNIV 100.

### **General Education Exit Examination**

As part of its assessment of student acquisition of general education competencies, The American University in Dubai administers the General Education Exit Exam to graduating seniors. The General Education Exit Exam, which is mandatory, is administered biannually during Fall and Spring semesters. The date for this Exam is announced within the first two weeks of the semester. Students completing degree requirements must sit for the Exam as scheduled. Fulfillment of a student's request for a diploma will not be finalized until the Institutional Effectiveness Office confirms that the student has taken the General Education Exit Examination.

### **Interruption of Degree Progress and Reenrollment after Withdrawal from the University**

When a student interrupts progress towards completion of his/her degree for one calendar year or more, he/she must re-apply to the University in order to resume their studies. The application for re-admission will entail a review of the student's record by the Admission Office which, in consultation with the Office of Academic Affairs, may require the student to fulfill (in all or in part) the degree requirements in effect at the time readmission is requested. These requirements may differ from those in effect at the time the student was first admitted to the University. The student will be required to provide updated information and pay the current Reservation and Enrollment deposit prior to readmission. A student desiring to reenroll after less than a one-year period since the official date of withdrawal should contact the Registrar's Office to initiate the reenrollment process.

### **Multiple Majors**

A student may choose multiple (i.e., more than one) Majors within a degree Program. Any course listed in this Catalog under more than one Major may be used to satisfy the requirements of each Major under which it is listed. This reduces the credit-hour burden for students pursuing double or triple concentrations, while essentially preserving the specialization represented by each Major. Credit hours are not, however, applied more than once in the calculation of total hours earned.

### **Arts and Science Course Requirements**

All candidates for an AUD degree are required to complete successfully ENGL 101 (Composition and Rhetoric), ENGL 102 (Advanced Composition and Research), ENGL 103 (Introduction to Literature), COMP 101 (Introduction to Computers); and depending on their Major and placement test results, MATH 101 (Mathematics for the Arts) or MATH 200 (Mathematics with Business Applications) within their first 60 credits earned. If applicable, ENGL 100 (Developmental English), MATH 090 (Developmental Mathematics I), and MATH 100 (Developmental Mathematics II) must be successfully completed within one year of initial registration. Failure to do so will result in the student's non-eligibility to register for any for-credit courses until the remaining developmental courses are completed successfully.

Math requirements for Engineering and Architecture students vary, and students should consult their advisors for Years I and II sequencing.) Failure to comply with this Policy may result in dismissal from the university.

### **Course Abroad Seminars**

Students at AUD have the opportunity to earn academic credit toward their degree while traveling on University-sponsored study tours. In the past, study tours have included New York, Paris, Milan and Florence. A student may only receive three (3) credit hours towards graduation for one study tour. In order to register for a second study tour, a student must obtain the written approval of the Study Tour Advisor. Academic credit will be granted and a grade assigned for the second tour, but not in fulfillment of degree requirements.

Withdrawals from study tours are not permitted. Study tours are used by students to fulfill General Elective requirements and carry the following course codes: NYST 275 (New York) and ITST 275 (International). Should students majoring in a given discipline wish to take a study tour specific to that discipline, the Office of Academic Affairs will consider authorizing such a tour to fulfill Professional Elective requirements. In such cases, the discipline-specific course code will be used (e.g., BUSI, VICD, IDES). Study Tours are graded on a Pass (P or P+)/Fail (F) basis.

### **Time Limit for Completion of Undergraduate Programs**

All course work and other requirements must be completed no later than ten (10) calendar years from the date of initial admission to the program. Study terms and inactive terms, during which the student was not registered in any courses, will all be counted in determining adherence to this time limit.



**Withdrawal from the University**

AUD students intending to withdraw from the University must submit a written notice to the Registrar's Office, in the form of the AUD withdrawal form available in the Registrar's Office. Any outstanding tuition or fee charges owed must be paid at the time of withdrawal. A student is not granted requests for official or unofficial AUD transcripts if any outstanding charges are not paid.

The Last Date of Attendance is used as the official date of withdrawal in all cases for refund calculations. W or F grades will be assigned to all courses based on whether the withdrawal occurs before (W) or after (F) the term withdrawal date specified in the University Calendar.

**ADMINISTRATIVE ISSUES****Address Change**

It is the responsibility of the student to update his/her contact details as necessary by filling the data change application available online (<https://registrarforms.aud.edu/>) immediately in the event of any address/contact change. The Registrar will then update the system accordingly.

**Name Change**

Students' names are recorded per their passport upon enrollment to the University. Any name change must be authenticated by a passport or other appropriate documentation.

**Official Student Schedule**

The student's official schedule is recorded by the Registrar at the end of Drop/Add. Students may view this schedule on the AUD Student Portal, or directly through <https://schedule.aud.edu/>.

**Request for Transcripts**

A transcript is not considered official unless it is issued by AUD, bearing the university's seal and Registrar's signature. Requests for transcripts from The American University in Dubai must be made by filling out an online request form at the Registrar's website. The fee for each official transcript is 50 AED. Students should allow two working days for the processing of transcript requests. Students can request special mail services at an additional cost. No official transcripts are issued to a student whose file is incomplete.

**Interpretation:** Admissions & Registrars Offices  
**Ownership:** President  
**Publication:** UG Catalog; UG Student Handbook

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
April 2009	Declaration of major	Added new section: Declaration of major
May 2009	Course Load	Course load for summer terms added
June 2009	General Education Exit Examination	Changed from "Exam is administered twice on each Fall and Spring" to "Exam is administered once in the Fall".
June 2009	Academic Proficiency Assessment <u>AND</u> Computer Proficiency Examination	Changed to reflect the computer placement test
June 2009	Reenrollment after Withdrawal from the University	Added: after one year of absence, students will be required to complete the degree in accordance with the UG Catalog in effect upon their re-enrollment.
June 2009	Time limit for completion	Added new section: Time limit for completion
May 2013	Required Arts & Sciences Courses	Updated to reflect new university standards
May 2018	Major and Concentration Course Load  Computer Proficiency Exam	Removed references to discontinued programs Increased the CGPA requirement for student overload from 2.0 to 2.5. Restructured the reference to student overload in the summer term to provide clarity Removed outdated references, and replaced the entire section with the same language included in the 2017-2018 undergraduate catalogue.

<b>ADVANCED STANDING AND TRANSFER CREDIT POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AC-U-03**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for the award of advanced standing credits, credit by examination, and transfer credits for all undergraduate programs.

### **POLICY**

Students enrolled at AUD are required to have on file within their first term of residence official score reports (advanced standing) or official transcripts for any institutions of higher learning previously attended. The Admissions Office will ultimately verify/certify the institution's eligibility for transfer credit.

In order for AUD to accept transfer credit from an institution outside the UAE, such institution must be licensed or officially recognized by the Education Department or Ministry of the country where it is in operation.

In the case of transfer credits from foreign institutions, the student is responsible for obtaining an official evaluation of the foreign credentials. Several transcript evaluation services are available to students. Services which are either recognized by AACRAO (Association of Collegiate Registrars and Admissions Officers) or a member of NACES (National Association of Credential Evaluation Services, Inc.) are acceptable services. Students are responsible for all applicable fees.

### **PROCEDURE**

#### **Advanced Standing Credits**

Students desiring to request credit evaluations for advanced standing credit (A Levels, Advanced Placement, IB Diploma, French Baccalaureate, German Abitur), should contact the Admissions Office for information on university processes and procedures for advanced standing.

Applicants should contact the Admissions Office for Advanced Standing requirements.

Advanced Placement (AP) Examinations provide students with the opportunity to complete college-level coursework while in high school and to gain valuable skills and study habits for college. If a student achieves a qualifying score of 3 or higher on the respective AP Examination\*, proficiency credit is awarded according to ACE recommendations for the respective lower level course requirements. Students must submit an official AP score report to be evaluated for this proficiency credit award.

\* For Engineering applicants a score of "4" or higher is required for Biology, Chemistry, Mathematics, and Physics.

### **Transfer Credits/ Residency Requirements**

All students must complete a minimum of 50 percent of their degree program credit requirements in residency at AUD in order to qualify for a degree. The total number of credits in residency required is determined by calculating 50 percent of the total number of credits required for the student's program of study. Furthermore, all students must complete their last two semesters (i.e., obtain a minimum of 30 credit hours) at AUD to be awarded an AUD degree.

Students enrolled at AUD are required to have on file within their first term of residence official transcripts for any institutions of higher learning previously attended. The Admissions Office will ultimately verify/certify the institution's eligibility for transfer of credit.

In order for AUD to accept transfer credit from an institution outside the U.A.E., such institution must be licensed or officially recognized by the Education Department or Ministry of Higher Education of the country where it is in operation.

Several transcript evaluation services are available to students. Services which are either recognized by AACRAO (Association of Collegiate Registrars and Admissions Officers) or a member of NACES (National Association of Credential Evaluation Services, Inc.) are acceptable services. Students are responsible for all applicable fees.

Specific requirements for the evaluation and award of transfer credit at AUD include:

- Application for transfer credit, accompanied by all required documentation (course syllabi), must be submitted during the student's first semester of residence. All transfer credit files (including official transcripts) must be completed during that time. In no case will transfer credit be granted following the one year (calendar) anniversary of the beginning of the student's residence at AUD.
- Students may transfer in a maximum of 50% of the required program credits.
- In those cases in which students present courses for transfer constituting greater than 50% of a program's credit hour requirement, courses will be eliminated (to get to 50%) per the following order of priority: - Major - Core - Professional Elective - Foundation - Arts and Sciences
- Official college or military transcripts are evaluated on a course-by-course basis.
- Only courses at the 100 level or above will be eligible for transfer credit.
- In order to be granted transfer credit for 300/400 AUD-equivalent courses, a minimum grade of B or better is required. This does not apply to AUD students enrolled in an exchange program unless the course serves as a prerequisite for which AUD requires a grade of B or higher.
- In order for AUD-equivalent courses to be eligible for transfer credit at the 100/200 level, a grade of C or better is required.
- A maximum total of two (2) courses may be transferred into the university at any time, and applied toward completion of the Middle Eastern Studies Certificate.
- 3-semester and 4-quarter credit courses may be considered equivalent to AUD's 3 credit courses. A course-to-course analysis of outcomes may result in credit transfer from accredited institutions of higher learning.
- Under no circumstances will the total number of credit hours transferred exceed six (i.e., two courses) of the student's chosen major.

- Under no circumstances will the university grant transfer credit for courses designated as capstone, senior project, portfolio, internship or study tour. Examples include: MGMT 499, AIMC 431, VICD 455/456, IDES 331.
- Following a student's initial enrollment at AUD, he or she may transfer a maximum of 15 credit semester hours or equivalent, subject to approval by their Dean, Associate Dean or Chair to spend a term (i.e., semester or summer session[s]) abroad, either at a university with which AUD has an exchange agreement or another university chosen by the student (subject to AUD approval).
- Be in his or her sophomore year or beyond.

In no case may the total number of transfer credits following admission to AUD exceed 15; and these must fall within the 50% of credits earned in residence required to be granted an AUD degree. See pp. 39-40 of the current Undergraduate Catalog for those institutions with which AUD has exchange agreements. After initial enrollment at AUD, students will, subject to prior approval, receive transfer credits only for pre-approved courses from the following sources:

- AUD-approved exchange programs;
- AUD-approved study abroad programs; or,
- Other AUD-approved institutions.

AUD students who wish to earn credit at another university must obtain prior approval for the courses they intend to take. Application for course authorization is available online <http://registrar.aud.edu/>. Failure to do so prior to the commencement of study may result in AUD's denial of transfer credit.

GRADING POLICY	
Effective Date	Fall 2008
Date of Last Update	January 16, 2019

## POLICY AC-U-04

### PURPOSE

The purpose of this policy is to establish the standards for course grades at the undergraduate level.

### POLICY

Grade reports are issued to students at the completion of each semester/term. Grades are based on the quality of work as demonstrated by written tests, laboratory work, term papers, and projects as indicated on the course syllabus.

### PROCEDURE

The following grades are used by the faculty to indicate the quality of work performed. Grade designations and grade points for each hour of academic credit are listed below.

### Grading System

Letter Code	Description	Included in			Quality Points	Percentage
		Credits earned	Credits attempted	CGPA		
A	Excellent	Yes	Yes	Yes	4.00	90-100
A-	Very good	Yes	Yes	Yes	3.70	87-89
B+	Good	Yes	Yes	Yes	3.30	84-86
B	Good	Yes	Yes	Yes	3.00	80-83
B-	Good	Yes	Yes	Yes	2.70	77-79
C+	Satisfactory	Yes	Yes	Yes	2.30	74-76
C	Average	Yes	Yes	Yes	2.00	70-73
C-	Below Average	Yes	Yes	Yes	1.70	67-69
D+	Poor	Yes	Yes	Yes	1.30	64-66
D	Poor	Yes	Yes	Yes	1.00	60-63
F	Failing	No	Yes	Yes	0.00	< 60
I	Incomplete	No	Yes	No	N/A	n/a
AU	Audit	No	No	No	N/A	n/a
P+	Passing with Distinction	Yes	Yes	No	N/A	n/a
P	Passing	Yes	Yes	No	N/A	n/a
GRADE**	Repeat	No	Yes	No	N/A	n/a
TC	Transfer	Yes	No	No	N/A	n/a
IP	In Progress	No	No	No	n/a	n/a
W	Withdrawal	No	Yes	No	N/A	n/a

**Note:** Students who are dismissed from the university per the decision of an Honor Council are assigned the grade of F.

*All IELP courses and developmental Math courses (090/100) are graded P+\*, P\*, and F\*, with P\* as the lowest passing grade. It is also the lowest passing grade in UNIV 100 and ENGL 100. Internships and study tours are graded on a P+, P and F scale.*

**I** **An incomplete (I)** is issued no sooner than the last two (2) weeks of the semester to a student who has satisfactorily completed a substantial portion of the course work, *but for non-academic reasons beyond the student's control*, he or she is unable to meet the full course requirements on time. The course instructor issues this grade, subject to approval by the Dean, Associate Dean or Chair and the Provost and Chief Academic Officer. The incomplete course work must be completed by the end of the subsequent semester/summer session. If the student does not complete the work within the stipulated time, the incomplete is changed automatically to the grade of F. An incomplete must be processed at the time of the concession (e.g., authorized suspension of attendance, accepted tardiness/non-completion of assignments, etc.). *The university does not grant incompletes retroactively. Students should apply for an incomplete through the online system (registrar.aud.edu).*

**AU** *No credit is given for audit (AU) classes, nor is the grade included in the student's academic average.* Students must receive written permission from the Dean, Associate Dean or Chair to audit a class, or classes, prior to the first day of the semester. Instructor approval may be required for some courses.

**IP In Progress**

This symbol is used in lieu of a grade when an Internship or a Field Experience is still in progress. It is assigned at the end of the academic term of registration for the course, and in subsequent semesters/terms, until the Internship or Field Experience is completed, submitted, evaluated and a final grade is assigned.

No credits are awarded for an Internship or a Field Experience while it is in progress.

**W** *A student is allowed to withdraw officially from a course no later than the end of the tenth week of the semester (end of the fifth week in a summer session).* The W is calculated in Satisfactory Academic Progress but is not calculated in the CGPA. *Students are not permitted to withdraw after this deadline.*

*W is used to denote withdrawal of students in the case of dismissal by Conduct Council.*

**Note:** AUD does not have a university-wide late work policy. Each course instructor is responsible for developing a late work policy for his or her course and communicating that to the students via the syllabus.

**Grade Point Average**

Earned quality points are calculated for each course by multiplying the quality point value for the grade received for the course times the credit hour value of the course. For example, a three-credit course with a grade of B would earn nine quality points (credit value of course (3) times quality point value of B (3)). As illustrated below, the Cumulative Grade Point Average (CGPA) is calculated by dividing the total earned quality points by the total attempted credits.

For calculating rate of progress, grades of F (Failing), W (Withdrawal), and I (Incomplete) are counted as hours attempted, but are not counted as hours successfully completed.

Course	Credits Attempted	Grade	Quality Point Value	Quality Points (multiply credits by grade value)
Course 1	3	A	4.00	12.0
Course 2	3	B	3.00	9.0
Course 3	3	C	2.00	6.0
Course 4	3	B-	2.70	8.1
Course 5	3	F	0	0
Course 6	4	C+	2.30	9.2
<b>Totals</b>	<b>19</b>			<b>44.3</b>
				<b>CGPA 44.3/19 = 2.33</b>

### Repeating a Course

A student may repeat a course either to replace a failing grade with a passing grade or to try to improve a passing grade achieved the first time the student took the course. A previously passed course may be repeated only once. A previously failed course which is repeated and failed again may be retaken only one more time, for a total of three attempts. In the case of students who have been accepted to the university as degree candidates (including those whose programs are “undecided”), *failing and/or withdrawing a required course (other than developmental courses) three times may be grounds for dismissal*. Such dismissal will be determined by the Dean, Associate Dean or Chair of the Academic unit housing the student’s degree program (Arts and Sciences in the case of undecided students). When a student registers for a course the third time, he or she may only do so subject to the conditions set by the appropriate Dean, Associate Dean or Chair.

*A course in which a grade of C or higher is received may only be repeated within one year from receiving the initial grade or as soon as the course is offered again if it is not offered during this one-year period.* A student who has completed all degree requirements will not be allowed to repeat courses for the purpose of improving grades.

When a course is repeated, the best grade received is calculated into the CGPA. The lower grade(s) will be followed by an asterisk (\*) indicating that the course has been repeated. Both original and repeated credits will be counted as attempted credits in rate of progress calculations. In the case of repeating a course from which the student has previously withdrawn, a W remains on the student’s transcript, while the new grade (also shown on the transcript) substitutes for the W in the calculation of the CGPA.

In order to receive credit, the student must repeat any required course in which a grade of F or W is received.



## **Early Alert and Midterm Academic Assessment**

### **Early Alert**

The university alerts the students by the 4<sup>th</sup> week of the Fall and Spring semesters and by the 1<sup>st</sup> week of the Summer terms if the student's overall perceived or actual performance in any course is considered unsatisfactory or would lead to an unsatisfactory result. The instructor does this electronically. The online report is communicated with the Student Retention and Success Division and provides reasons for the student's poor performance as determined by the instructor so that the Division can follow up and support the student.

### **Midterm Academic Assessment**

The university informs the students by the 7<sup>th</sup> week of the Fall and Spring semesters and by the 3<sup>rd</sup> week of the Summer terms when the student's grade in any course is less than C. Students are requested to discuss their academic standing with the related professor and meet with the Director of the Students Retention and Success Division or the Senior Academic Advisor and Support Coordinator.

### **Withdrawal from Classes**

Undergraduate students may officially withdraw (grade 'W') from a course no later than the end of the tenth week of the semester (end of the fifth week in Summer). Students are not permitted to withdraw after this deadline. A grade of 'W' is also used to denote withdrawal of students in case of dismissal by Conduct Council.

Graduate students can officially withdraw from a course any time before the final examination. To withdraw from a course, students should apply online via <http://withdrawal.aud.edu>.

All *Withdrawal Requests* must be received by the Registrar's Office by the withdrawal deadline.

### **Grade Submission**

The online Grade Submission Application has been set up to eliminate the need to print out grades and to facilitate the process of grade submission within 48 hours after the final exam date of each course.

Grade Submission Application is available through blackboard.

### **Release of Grades Policy**

Final grades are released by the Registrar's Office within three working days after the end of each academic term. All grade reports are available online via <http://registrar.aud.edu/>.

## **Grade Changes**

All grade changes must be processed within one month subsequent to the issuance of the grade. Faculty members must apply online for the Grade Change and attach evidence supporting the change through the link <http://registrar.aud.edu>. The request must be signed and approved by the Dean, Associate Dean or Chair and the Provost and Chief Academic Officer before it is processed and updated by the Registrar's Office.

## **Grade Appeal**

Questions and concerns about grades often result from misunderstandings about grading practices and expected standards. Direct communication between instructors and the students usually clear up these misunderstandings. In some cases, however, a grade appeal is warranted.

Students have the right to appeal a grade and request a reconsideration of the assigned grade within one month subsequent to the issuance of the grade; however, they must provide sufficient, tangible evidence to support their request for a re-examination of the assigned grade.

### Reasons for reconsideration of a grade appeal may include:

- Miscalculation of marks;
- Mis-grading of a paper, project or exam;
- Application of an evaluation or grading system which was not included in the course syllabus;
- A departure from the instructor's previously announced standards;
- Assignment of a grade on some basis other than the student's performance in the course;
- **Demonstrable** evidence of discrimination or prejudice in the assignment of the grade;
- Arbitrary assignment of grade (lack of consistent and equitable standards for grading).

### Grade Appeals will be dismissed if:

- Allegations by the student do not indicate erratic grading;
- The basis of the disagreement is with the instructor's particular grading standards; or
- The appeal is not submitted within the given one month period subsequent to the issuance of the grade.

## **Online Grade Appeal Application**

A student who believes that he or she has the basis to appeal a grade, must apply online within one month subsequent to the issuance of the grade. The application is accessible through the AUD website under the *Registrar's Webpage*.

## **Grade Appeal Procedure**

- The student should make an appointment with the appropriate instructor when there is any question about a particular grade or the instructor's grading policy. Students in the Study Abroad Program (SAP), if they have returned to their home countries, may contact the instructor via telephone or email;

- Subsequently, ***if students wish to file for a grade appeal***, they log into the *Grade Appeal Application* available under the *Registrar's Webpage*: <https://registrar.aud.edu/>
- Once a grade appeal is submitted, the course instructor receives a notification email prompting him or her to log into the application and confirm meeting with the student and entering his or her remarks;
- The Chair of the department offering the course in which the grade appeal is made will then follow up on the case and enter his or her decision to the system.
- Students and concerned faculty will receive an update on the status of the appeal via email. If the grade appeal is approved by the Department Chair, the instructor will proceed with the grade change, with an explanation of the reasons and the new grade. In the event that the appeal is not approved by the relevant Chair, students may choose to appeal to the Dean, who will then follow up on the case and enter his or her decision to the system.
- The student, concerned faculty, and Chair will receive an update on the status of the appeal via email. If the grade appeal is approved, the instructor will proceed with the grade change, with an explanation of the reasons and the new grade. In the event that the appeal is not approved by the relevant Dean, the student may raise the appeal to the Provost and Chief Academic Officer for review.
- The Provost and Chief Academic Officer will discuss the questions raised with the instructor, give the student a perspective regarding the grade and review the mechanism for appeal.
- The student, concerned faculty, Chair, and Dean will receive an update on the status of the appeal via email. If the grade appeal is approved, the instructor will proceed with the grade change online.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Catalog; UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
April 2009	Grading System	Added percentages to grading system table.
June 2009	Grading System	Procedures for the late submission of coursework added.
June 2009	Repeating a Course	From: students will only be allowed to repeat courses in which they have received C- or below To: Previously passing courses can be repeated only once. Failing courses can be repeated for a total of three attempts.

PERIODIC EVALUATION OF ACADEMIC STANDING	
Effective Date	Fall 2008
Date of Last Update	February 6, 2019

## POLICY AC-U-05

### PURPOSE

The purpose of this policy is to define what constitutes satisfactory academic progress at the undergraduate level.

### POLICY

All students must maintain satisfactory academic performance in order to remain enrolled at AUD. Academic standing is evaluated periodically by measuring each student's cumulative grade point average (CGPA). Students are expected to meet minimum CGPA requirements in order for their academic performance to be considered satisfactory. Undergraduate students are required to maintain a minimum CGPA of 2.0 throughout their enrollment in order to be in good academic standing. A student's CGPA will be reviewed at the end of each academic term after grades have been posted to determine whether the student is in good academic standing.

If a student changes his/her program or concentration, the grades received in the former program or concentration continue to be calculated as part of the student's CGPA.

### PROCEDURE

#### ***Periodic Evaluation of Academic Standing***

All students must maintain satisfactory academic performance in order to remain enrolled at AUD. Academic standing is evaluated periodically by measuring each student's cumulative Grade Point Average (CGPA). Students are expected to meet minimum CGPA requirements in order for their academic performance to be considered satisfactory. *Undergraduate students are required to maintain a minimum CGPA of 2.0 throughout their enrollment in order to be in good academic standing.* A student's CGPA will be reviewed at the end of each academic term after grades have been posted to determine whether the student is in good academic standing.

If a student changes his or her program or major, the grades received in the former program or major continue to be calculated as part of the student's CGPA.

#### **Academic Warning and Academic Probation**

- A student will be placed on ***Academic Warning*** at the end of the first academic term in which his or her CGPA falls below 2.0.
- At the end of the next academic term, the student is removed from Academic Warning and returned to good academic standing if he or she achieves a CGPA of 2.0 or higher.
- If at the end of the next academic term, immediately following placement on Academic Warning, the student's CGPA remains below 2.0, he or she will be placed on ***Academic Probation***.
- Once a student is placed on Academic Probation, he or she has one academic term to achieve good academic standing. A student who, at the end of one academic term

on Academic Probation, raises his or her CGPA to 2.0 or higher is removed from Academic Probation and returned to good academic standing.

- Students are notified of placement on Academic Warning and Academic Probation in writing.

### **Conditions Applicable to Students on Academic Warning and Academic Probation**

- Students on Academic Warning and Academic Probation must consult with the Academic Support Division prior to selecting their courses for the next academic term and must obtain their academic advisor's approval to register, course load limitation may be applied.
- As long as a student remains on Academic Warning or Academic Probation, his/her performance will continue to be reviewed by the Associate Director of Student Retention and Success and the Academic Advising Coordinator to encourage academic growth and result in improved academic standing.
- Students on Academic Probation must give priority to repeating all required failed courses, and are advised to repeat other courses in which they obtained failing or low grades.

### **Academic Suspension**

- If a student's CGPA, at the end of one academic term on Academic Probation, is still below 2.00, he or she is placed on **Academic Suspension** from the university for the next academic term.
- Students are notified of placement on Academic Suspension in writing.

### **Readmission from Academic Suspension**

Students placed on Academic Suspension may be granted readmission to the university if they apply for readmission at the end of their suspension period. See the section below on the Academic Appeals Process.

***Students granted readmission from Academic Suspension will be placed on Academic Probation.*** The course load for these students will be not less than 9 credit hours and not more than 13 credit hours per semester, and must be 3 credit hours in Summer terms. A student's Dean, Associate Dean or Chair may set other appropriate conditions and expectations regarding courses to be taken and academic performance upon readmission. The university may set other appropriate conditions.

### **Removal of Academic Probation for Students Readmitted from Academic Suspension**

Students returning from Academic Suspension are readmitted on Academic Probation. They are expected to achieve good academic standing by attaining a CGPA of 2.0 or higher, upon attempting a minimum of 24 credit hours following readmission. Academic Probation will be removed at the end of the academic term in which this result is achieved.

### **Academic Dismissal**

A readmitted student will be dismissed from the university if, upon attempting a minimum of 24 credit hours following his or her readmission from Academic Suspension, the student fails to achieve a CGPA of 2.0 or higher. A readmitted student will also be dismissed from the university if, *at the end of any academic term* after removal of Academic Probation, the student's CGPA once again drops below 2.0.

## ***The Academic Appeals Process***

### **Appeals of Academic Suspension and Academic Dismissal**

A student may appeal to have a suspension or dismissal *reversed*. This *appeal* must be filed on-line (<http://registrar.aud.edu/>) by the date reflected on the Academic Calendar.

Denied appeals of suspension result in a period of forced absence from the university.

*Following this absence (suspension)*, the student may request to return to the university. This *request* must be filed on-line by the date reflected on the Academic Calendar.

Approved appeals of suspension result in reversal of suspension. Student's CGPA must be raised to a minimum of 2.00 by the end of the term. Students will be suspended at the end of any academic term after reverse of academic suspension if the student's CGPA once again drops below 2.00.

### **Applications for Readmission from Academic Suspension**

Students may apply online <http://registrar.aud.edu/> by the date reflected on the Academic Calendar. The student should attach a letter detailing his or her activities during the suspension period and should explain why the student believes his/her academic performance will improve in the future. Other required documentation should be provided online.

Although students who are academically suspended from AUD often choose to take courses at other institutions to improve areas of weakness or to indicate seriousness of continued academic pursuits, they will under no circumstances receive transfer credits for those courses upon their readmission to AUD.

### **Processing Timeline for Academic Appeals**

- Last day to submit the *Academic Standing Appeal* online is *seven (7) days before the beginning of classes*. See *Academic Calendar*.
- Students whose appeals have been denied by the Provost and Chief Academic Officer, may appeal online to the President. Last day to appeal a suspension or dismissal to the President is the *first day of classes*.

**Interpretation:** Registrar

**Ownership:** University Committee on Academic Standing

**Publication:** UG Catalog

SUMMARY OF CHANGES		
Date	Section	Change
May 2010	All Sections were affected	Updated for clarity

<b>ACADEMIC ADVISING POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 16, 2019

## **POLICY AC-U-06**

### **PURPOSE**

The purpose of this policy is to establish the academic advising requirements for undergraduate students.

### **POLICY**

Students receive advising and are registered for their first term at AUD by an Admissions Coordinator. During subsequent terms (up to the completion of 60 credit hours), undergraduate students receive advising and obtain authorization to register from an Academic Advisor housed in the Student Retention and Success Division. However, Engineering Students are advised and must obtain prior approval from their Academic Advisor throughout their residency at AUD. Moreover, students returning from suspension are to be advised and should receive prior approval from the Division of Student Retention and Success throughout their residency at AUD, irrespective of the CGPA attained subsequent to their return from suspension.

### **PROCEDURE**

A student who has earned greater than 60 credit hours is assigned a faculty member who acts as his or her advisor. With the exception of candidates in Engineering, upon completion of 60 credit hours, students no longer need to obtain an Advisor's approval in order to register.

Students are encouraged to maintain close contact with their Advisor during their time at AUD. Advisors provide them with information and perspective related to academic policy and concerns, specific course-related problems/issues and other academic or professionally related matters.

Nonetheless, students are expected to assume responsibility for program planning and course selection since ultimately the responsibility for fulfilling degree requirements rests squarely with the student. They are required to become intimately familiar with the various program requirements and necessary requisite coursework and sequencing.

The basic tasks of the university's academic advising program are to help students identify and achieve their academic goals and to become self-directed learners and decision-makers.

An Advisor should:

- help the student navigate the academic and administrative processes and programs of the university;
- aid the student in understanding standards and requirements and offer a perspective on the likelihood of success in certain areas of study;
- engage the student in discussions on educational and career objectives and how they relate to current or expected courses of study;



- assist the student in formulating a course of study after giving advice about courses;
- serve as a contact for referral to other campus resources;

A student should:

- be proactive and search out information needed for course scheduling, program planning, and successful completion of all graduation requirements;
- gather academic and career information needed to be successful;
- learn about the policies, procedures, and rules of AUD;
- come to advising sessions well prepared with questions and relevant materials and forms;
- follow procedures;
- ask questions and monitor their own academic progress;
- initiate contact with their advisor as needed.

Responsibility for advising Graduate students rests with the Graduate Program Director or designate.

**Interpretation:** Academic Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

ACADEMIC HONORS POLICY	
Effective Date	Fall 2008
Date of Last Update	February 6, 2019

## POLICY AC-U-07

### PURPOSE

The purpose of this policy is to recognize outstanding academic progress at the undergraduate level.

### POLICY

Satisfactory academic progress is determined by measuring the student's cumulative grade point average (CGPA). Students who achieve superior academic performance are eligible for academic honors.

### Dean's List

Undergraduate full-time students earning a semester grade point average of 3.67 or above will be named to the Dean's List. The Dean's List designation applies only to undergraduate bachelor's degree programs and is only made for the two semesters (Fall and Spring) of the academic year.

### Graduation with Honors

Undergraduate bachelor degree graduates who have maintained a record of outstanding academic achievement will graduate with honors. Their achievement will be recognized as follows:

- *Summa Cum Laude*: graduating CGPA of 3.90 or above.
- *Magna Cum Laude*: graduating CGPA of 3.70 - 3.89.
- *Cum Laude*: graduating CGPA of 3.50 – 3.69.

**Interpretation:** Registrar

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Golden Key Honor Society	Deleted

<b>INTERNSHIP POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC-U-08**

### **PURPOSE**

The opportunity to participate in university approved internships is an option available to students in all majors, and students are encouraged to take advantage of this program. The purpose of this policy is to establish the process for eligibility and approval of internships.

### **POLICY**

Undergraduates are eligible for internships after completing course work and other requirements Department (including minimum GPA) as specified by the School/Department. Host companies for internships must be located in the UAE.

Before a student can start the internship, the School Dean or Chair of the Department offering the student's degree program must approve the host company and the internship program. The total amount of internship credit must not exceed three credit hours towards completion of the student's degree program. An exception to this limit, approved by the Dean/Chair, may be granted in the case of students with double concentrations.

### **PROCEDURE**

Students participating in internships can complement their classroom experience and earn credits toward their degree in an approved off-campus employer that provides practical learning in a professional setting.

The Career Services Division in collaboration with academic departments ensures that an adequate number of quality internship opportunities are available for selection by students. Students can view a list of AUD internship affiliated partners under the Student Affairs webpage or contact a career advisor.

Internships may be completed in any of the academic semesters including Summer I and Summer II. Before students can register and start their internship, the Dean, Associate Dean or Chair must approve the host company and the internship program. The total amount of internship credit must not exceed three credit hours towards completion of the student's degree program. An exception to this limit, approved by the Dean, Associate Dean or Chair, may be granted in the case of students with double majors. In all cases, it is imperative that students identify and register for the internship before the start of the academic semester/term during which the internship is set to take place. Credits cannot be claimed for internships that were completed without students being registered in advance.

Upon completion of the internship program, students must submit a work report to the faculty internship advisor as per the Department's requirements. Additionally, the host company supervisor must submit to the faculty internship advisor a written evaluation of the student's internship performance. A final Pass (P) or Fail (F) grade is assigned by the allocated faculty internship advisor.

Students can learn more about the internship program by visiting the Career Services Division or downloading the Internship Program Manual at the Student Retention and Success webpage.

**Interpretation:** Career Service Manager, Deans and Chairs  
**Ownership:** President  
**Publication:** UG Catalog; UG Student Handbook; Internship Manual

SUMMARY OF CHANGES		
Date	Section	Change
July 2009	All	References to External Affairs Department changed to Career Services Division to reflect new organizational structure.

<b>ATTENDANCE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AC-U-09**

### **PURPOSE**

The purpose of this policy is to establish attendance requirements for all for credit courses at the undergraduate level.

### **POLICY**

Students are expected to be in class for all scheduled class periods (including make-up classes). All matters related to student absences (making up missed work, assignments, tests, etc.) are specified in the course syllabus.

### **PROCEDURE**

As classroom attendance is an indispensable part of the learning experience, the university established the following rules to regulate attendance and grading:

- There is no difference between excused and unexcused absences. An absence is an absence;
- Excessive absence, defined by the equivalent of two weeks (semester) or one week (summer session), may lower the student's class participation grade. The degree to which the class participation grade is lowered is at the discretion of the instructor, as clearly defined in the course syllabus.
- Students are expected to be in class on time.

The instructor will be responsible for denoting the attendance policy (including tardiness) and including guidelines for assessing class participation on the class syllabus. The policy for handing in assignments late is determined by the instructor and is stated on the class syllabus.

At the discretion of the Office of the provost and Academic Affairs, absences incurred due to participation in AUD-sponsored activities or sports tournaments may not figure in the calculation of a student's total absences. The Provost in consultation with the Athletics Coordinator will determine if the tournament deserves official excused absence status (usually accepted tournaments include AUD hosted tournaments, overseas tournaments, and U.A.E. Higher Education Sports Federation Tournaments). Student-athletes are expected to notify their instructors as soon as they are aware they will be missing a class due to a status approved athletic competition.

Any student who is experiencing psychological distress and is unable to attend his or her scheduled classes must first see the AUD Counselor. The Counselor will carefully assess the student's psychological state. Should the Counselor determine the student is unable to attend classes, the Counselor will immediately contact the Provost and inform him of the student's condition. Respecting the confidentiality policy of counseling services, the Counselor will only disclose the minimal information needed to explain the situation. The Provost and Chief Academic Officer will authorize any absences, if any, from the course. (The student retains the options of withdrawing or seeking an Incomplete.)

**Interpretation:** Academic Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** UG Catalog; UG Student Handbook; Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Procedure	Added: Students are expected to be in class on time.  Changed <b>from:</b> "All matters related to student absences <u>are to be arranged between the student and the instructor</u> " <b>To:</b> "are specified in the course syllabus".
January 31, 2019	Entire Policy	Rewritten to provide further clarity.

<b>GRADUATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC-U-10**

### **PURPOSE**

The purpose of this policy is to establish the graduation requirements at the undergraduate level.

### **POLICY**

To be recommended by the faculty for graduation with a Bachelor's degree, students must fulfill all academic and administrative requirements. Students on a previous curriculum may choose to fulfill the requirements of that curriculum or the current one. Program-specific requirements are listed in the Undergraduate Catalog.

### **PROCEDURE**

AUD will award degrees at the end of the academic semester or summer session. In order to qualify for graduation, students must meet the following eligibility requirements:

#### **Academic Requirements: (replaced by new policy)**

- Minimum CGPA of 2.0;
- Clearance by their Dean, Associate Dean or Chair that all program requirements have been met;
- Separately, only those students who complete the last 30 credit hours at AUD are eligible to be awarded an AUD degree.

#### **Administrative**

- Clearance by Finance office for all financial obligations (including AED 600 Diploma Processing Fee);
- Clearance by the Library;
- Clearance by Central Services if the student is on a university-sponsored visa.

#### **Residency Requirements:**

All students must complete a minimum of 50 percent of their degree program credit requirements in residency at AUD in order to qualify for a degree. The total number of credits in residency required is determined by calculating 50 percent of the total number of credits required for the student's program of study. Furthermore, all students must complete their last two semesters (i.e obtain a minimum of 30 credit hours) at AUD to be awarded an AUD degree.

### **Time Limit for Completion of Undergraduate Degree Programs**

All course work and other requirements for the baccalaureate degree must be completed no later than 10 calendar years from the date of initial admission to the program. Study terms and inactive terms, during which the student was not registered in any courses, will be counted in determining adherence to this time limit.

### **Participation in Annual Graduation Ceremony**

The American University in Dubai holds its Commencement Exercises once a year following the **Spring** semester. In order to be eligible to participate, candidates for **undergraduate** degrees:

1. must be in good academic standing (cumulative GPA of 2.0 or higher) as of the end of the **Spring** semester; and
2. must have **not more than two courses (6 credits, which may include any internship or courses required for minors)** remaining for completion of their degree requirements by the end of the **Spring** semester preceding the graduation ceremony; and
3. must complete the application to participate in the graduation ceremony online <http://registrar.aud.edu/>, which includes a commitment to take their remaining courses and complete their degree requirements as soon as those remaining courses are offered.

Students who are approved for participation in the graduation ceremony before completing all degree requirements, as described above, are not eligible for school awards or for recognition of graduation honors (*Summa Cum Laude*, *Magna Cum Laude*, *Cum Laude*) at the graduation ceremony. However, these designations will be reflected on transcripts and diplomas if they are justified by the students' CGPA upon completion of all degree requirements.

Administration of the above policy is the purview of the Registrar's Office. Any situation requiring more specific interpretation of the policy will be referred to the Provost and Chief Academic Officer.

### **Diploma Request**

A student may not request a diploma any earlier than the scheduled date of graduation. The request must be completed online <http://registrar.aud.edu/> prior to the end of the student's final semester. Failure to complete the application online by the specified date may result in either a delay in receiving the diploma or an additional charge.

Diplomas are available for personal pick-up by students at the Registrar's Office. A student who prefers an alternative for collecting or receiving his or her diploma should specify on the online request, and pay additional fees for courier services. (For purposes of graduation verification, the university can provide a letter [stamped] to the student until their diploma is issued.).



**Diploma Replacement**

If an original AUD diploma is destroyed or lost, a duplicate may be requested online. The Duplicate Diploma Request Form must be filled by the graduate; and any evidence that the original diploma was lost, stolen or destroyed must uploaded (e.g., police report, fire department report). If the original diploma is damaged, a copy of the damaged diploma must be uploaded. The reverse side of the duplicate diploma will be stamped with the words, “Duplicate issued on DD/MM/YY to replace lost/destroyed original diploma.” In order to receive this duplicate, graduates must pay the university’s diploma fee.

**Interpretation:** Registrar  
**Ownership:** President  
**Publication:** UG Catalog; UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
23 February 2010	Participation in Annual Graduation Ceremony.	<u>From:</u> Must complete all their degree requirements by the end of the Spring <u>To:</u> Must have not more than two courses remaining. Bullet 3 added.

<b>ADMISSIONS POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 20, 2019

## **POLICY AC-G-01**

### **PURPOSE**

The purpose of this policy is to establish the requirements for admission into AUD's graduate programs.

### **POLICY**

A hallmark of AUD is its culturally diverse student population. AUD students come from many different countries and backgrounds and bring a wide range of viewpoints, special interests and talents to enrich the learning community. Selection of students is based on an individual assessment of each applicant. Final acceptance is not granted until the university has received all required admissions documents.

### **PROCEDURE**

#### **Academic Requirement**

- An earned undergraduate degree from an institution accredited by the Ministry of Education – Higher Education Affairs (MOE-HEA) in the U.A.E. or by the relevant national or regional institutional accrediting body in the case of international applicants.
- A 3.00 GPA (on a 4.00 scale) or better in undergraduate study. For students with post undergraduate credits earned at more than one institution, a separate GPA is calculated for each institution.

#### **English Language Requirements**

All students must achieve a TOEFL® score of 550 (79 IBT) or Academic IELTS™ score of 6.5 or an equivalent score in a test approved by the U.A.E. MOE-HEA.

#### **Exceptions:**

- A native speaker of English who has completed his or her undergraduate education in an English medium institution in a country where English is the official language
- A student who has completed his or her undergraduate education in an American accredited institution.
- A student admitted to and graduated from an English medium institution who can provide evidence of having achieved (upon admission to the undergraduate program) a TOEFL® score of 500 or Academic IELTS™ score of 6.0 or its standardized equivalent approved by the U.A.E. Ministry of Education – Higher Education Affairs (MOE-HEA).

*All the above exceptions are at the discretion of the Admissions Office*

### **.MBA Program Specific Admission Criteria**

- Graduate Management Admissions Test (GMAT®). The M.B.A. Admissions Committee will take cognizance of the three GMAT® sub-scores (Quantitative, Verbal, and Analytical Writing Assessment) for purposes of assessing each candidate's specific aptitude strengths and weaknesses. Subject to the evaluation and approval of the M.B.A. Admissions Committee, applicants who have not taken the GMAT® at the time of application may be granted conditional admission (see *Graduate Catalog*), with a requirement that they submit satisfactory GMAT® scores not later than the end of the first term following admission.
- Applicant's work experience: Candidates who have a minimum of two years of work experience will be given preference for admission.
- The Committee follows a balanced approach in evaluating each candidate on their individual scores for the Undergraduate GPA, GMAT®, and TOEFL®, Academic IELTS or EMSAT and their work experience. This is based on the principle that ample satisfaction by an applicant of one or more of these criteria may be to a reasonable extent compensate for deficiencies in one or more of the other criteria used in the applicant's evaluation.
- Students who have earned their undergraduate degree in an unrelated major may be required to pursue one or more graduate foundation courses. The Graduate Foundation Course Program consisting of various discipline-specific modules is designed to prepare potential students who do not have the necessary competencies in the core areas of accounting, microeconomics, finance, and statistics. These students are required to enroll and satisfactorily complete an appropriate series of non-credited courses in the Foundation Course Program. The courses required of each such student will be determined on a case-by-case basis following a review of the student's academic record.

### **M.Ed Program Specific Admission Criteria**

- Undergraduate degree: Preferably in education or in a discipline related to a content area of teaching that is applicable to primary or secondary education.
- Graduate Record Examination (GRE®) or Praxis® Core Academic Skills for Educators
- The applicant's history, including length of teaching experience, skills, and evidence of content knowledge (for applicants seeking admission at the secondary level) will be assessed at the time of admission to determine admission eligibility and whether certain courses could be waived. If waived, the student will be required to take the alternative course as indicated by the Dean.

### **P.T.C. Program-specific Admissions Criteria**

Admission requirements for the Professional Teaching Certificate Program are the same as those for the M.Ed. degree with one exception – the GRE®/Praxis® is waived for this level of graduate study.

## **M.A. in Leadership and Innovation in Contemporary Media (LICM) Program-specific Admission Criteria**

- Undergraduate degree: preferably but not necessarily in Communication or in a discipline related to media.
- At least 2 years' experience preferably in the media industry.
- The applicant's history, including length of work experience, and specific skills.
- A statement of the applicant's career objectives, professional and academic interests, and other reasons the candidate wishes to pursue the M.A. degree program at the MBRSC.
- CV highlighting the applicant's special skills, expertise, and interests.
- A Final Interview with the M.A. in LICM Admissions Committee (Program Director, M.A. in LICM Faculty and a member of the Admissions Office)

The ***M.A. in Leadership and Innovation in Contemporary Media*** Admissions Committee reviews applications for (1) Fall semester mid-April, mid-June and end-August, (2) Spring semester mid-October; mid-December and mid-January.

## **M.S.C.M. Program-specific Admission Criteria**

- Undergraduate degree: In Engineering, Architecture, or a closely-related discipline, from a recognized institution.
- Graduate Record Examination (GRE®): A minimum of 148 is required in the quantitative section. The Engineering Admissions Committee will also take into consideration the sub-scores in the other portions of the GRE® to assess the candidate's aptitude, strengths and weaknesses.
- A minimum of three years of work experience as a field or design engineer is recommended. Students with fewer than three years of documented work experience will be evaluated on a case-by-case basis by the Engineering Admissions Committee.
- Students lacking the following courses or their equivalent in their undergraduate studies may be required to take undergraduate-level equivalent courses at AUD prior to enrolling in certain graduate courses:  
ENG 255 – Engineering Design and Economics  
ENG 300 – Probability and Statistics in Engineering  
ECVL 420 – Construction Engineering and Management

Students who have not taken the above courses at the undergraduate level but have acquired the requisite knowledge in the corresponding areas through continuing education, MOOCs, work experience, or other means may submit a request for a waiver along with supporting evidence for consideration by the M.S.C.M. Committee.

### **Process/Documentation for Graduate Admissions**

Applications for admission to AUD's graduate programs are evaluated by the Graduate Committee of the respective graduate program, which consists of the Program Director as Chair, two graduate faculty members appointed by the Program Director, and in some cases one representative of the Admissions Office. The Committee employs a balanced approach, based on the principle that ample satisfaction by an applicant, of one or more of these criteria, may to a reasonable extent compensate for deficiencies in one or more of the other criteria used in the applicant's evaluation.

Submission of Documents - Students should be aware that all records, letters and other documents provided in the original to AUD as part of the admissions process will remain university property. The university reserves the right to evaluate the adequacy of all credentials submitted for admission. Furthermore, students are reminded that omission or falsification of information constitutes sufficient reason for rejection or dismissal. This dismissal, requiring the President's approval, may occur at any time during a student's residence at AUD; i.e., upon discovery of the omission/falsification.)

To be considered for admission to an AUD graduate program, applicants must submit the following documents and information:

- An *Application for Admission* to an AUD graduate program, duly completed, signed and dated by the applicant. The application must clearly specify the program and specialization option to which the applicant wishes to be admitted.
- Original, official transcripts of academic record from all universities, colleges or other postsecondary institutions attended by the candidate; to be submitted to the Admissions Office. Transcripts should be attested by the appropriate higher education authority in the country in which the undergraduate degree was granted, and must be translated into English if they are issued in a language other than English.
  - Applicants with degrees granted outside the U.A.E. should obtain attestation from (a) the Ministry of the country of study; (b) the Ministry of Foreign Affairs in/of that country; and, (c) the U.A.E. Embassy in that country or the Embassy of the country of study in the U.A.E. and the U.A.E. Ministry of Foreign Affairs.
  - Applicants with degrees granted outside the UAE should obtain equivalency from the UAE Ministry of Education – Higher Education Affairs . It is solely the applicant's responsibility to obtain this equivalency from the MOE-HEA.
- *Confirmation of University Records*, required from every university attended by the student before joining AUD to be e-mailed directly from the student's university to the Admissions Office at AUD.
- Undergraduate and Graduate Diplomas – originals required for verification.
- A statement of the applicant's career objectives, special professional and academic interests, and other reasons why the candidate wishes to pursue their choice of program at AUD, as well as the applicant's special skills, expertise and interests that might contribute towards enriching the graduate learning at AUD.

- CV or resume describing professional and academic experience.
- Official test scores (as required for each program): test scores must be submitted at the time of application; however, subject to the evaluation and approval of the Graduate Admissions Committee, applicants who have not taken the tests at the time of application may be granted conditional admission (see p. 21), with a requirement that they submit satisfactory test scores not later than the end of the first term following admission.
  - M.B.A. applicants: Test takers to authorize GMAT® to make scores available on the university's verification link or send official score reports to the Admissions Office.
  - M.Ed. applicants: GRE/Praxis® Core Academic Skills for Educators score sent directly to the Admissions Office.
  - M.S.C.M. applicants: Official GRE® score. Test takers to authorize ETS to make scores available on the university's EDM (ETS Data Manager) verification link. AUD's GRE® code is 7493

Evidence of satisfying the English language requirement: TOEFL® or Academic IELTS™ or EMSAT. Tests are accepted once verified by the Admissions Office. *The university's TOEFL® code is 0063.*

- Reference Forms: Graduate Committees will look for evidence of each candidate's maturity, seriousness of intent, perseverance, academic and professional preparedness, promise and potential, and chances of successful completion of the graduate program. Candidate is required to submit two Reference Forms or letters of recommendation completed by present or former university instructors or employers.
- Photocopy of passport, residence visa page, UAE ID (both sides), and two passport-size pictures.
- Non-refundable application fee of AED 420.

## **Visiting Students**

Students who are currently enrolled in degree programs at other colleges or universities but, but who wish to join AUD for one semester or more with the intention of transferring credits back to their home institution (i.e., visiting) should submit the following documents:

- An Application for Admission (accompanied by application fee);
- An official college transcript (GPA minimum 3.0);
- Visiting students should seek academic advisement at their home institution to determine whether the courses taken at AUD are applicable to their degree program. Written approval should be submitted along with the application;
- Satisfy the English language requirements for students coming from institutions in which English is not the language of instruction.
- 2 passport-size photographs and colored passport photocopy.

## **Admissions on Probation**

Applicants whose undergraduate GPA is below 3.0, but who otherwise amply satisfy the selection criteria, may at the Graduate Admissions Committee's discretion be granted admission on probation. These candidates' course load during the first term may be restricted by the Graduate Admissions Committee and will under no circumstance exceed six credit hours. They will be required to achieve a cumulative GPA of 3.0 within the first six credit hours attempted. Probationary status will be lifted and full admission will be granted upon satisfaction of this requirement. Failure to satisfy this requirement may result in termination of the students' enrollment in the graduate program.

## **Conditional Admission**

Subject to the evaluation and approval of the Graduate Committee, applicants who largely satisfy the admission criteria except for incomplete information or documentation that can, in the Committee's judgment, be completed within a short time, may be granted conditional admission for one term. These applicants will be notified of the information or documentation that needs to be completed and provided by the end of the term, as a condition for their continued enrollment. *Non-satisfaction of this condition by the end of the first term following conditional admission may result in termination of the student's enrollment in the graduate program.*

## **Provisional Admission**

The Graduate Committee may grant applicants provisional admission to a graduate program. Typically, these are applicants whose area of undergraduate studies is not in the proposed degree field, whose evaluation by the Graduate Committee reveals deficiencies in one or more of the foundation areas normally considered pre-requisite for success in the respective graduate program, but for whom there is nonetheless sufficient promise as potential graduate students. For each applicant in this category, the Graduate Committee will specify an appropriate non-credit course sequence (see Foundation Course Program as designated for each graduate program) that the candidate must successfully complete. No credit towards the graduate degree will be given for successful completion of this sequence.

### **Application Deadlines**

Applications for admission to AUD's graduate programs are accepted throughout the year for Fall, Spring and Summer I entering classes. To allow enough time for the evaluation of applications and the selection of accepted candidates, we encourage applicants to submit their applications in advance of the following meeting times. The Program Director's Office must receive all required documentation for each candidate, prior to their full-review by the Graduate Admissions Committee. Applicants are therefore expected to submit their completed documentation at least two weeks prior to the scheduled application review dates, specified below.

*The Master of Business Administration (M.B.A.)* Committee reviews applications for (1) applications for the Spring semester are reviewed mid-October and mid-December and mid-January (2) applications for the Summer I term are reviewed mid-February and mid-April; and, (3) applications for the Fall term are reviewed end-June and end-August.

*The Master of Education (M.Ed.)* Committee reviews applications for (1) Spring semester mid-October; mid-December and mid-January, and (2) Summer I mid-February and mid-April, (3) Fall semester mid-April, mid-June and end-August.

The Master of Science in Construction Management (M.S.C.M.) Committee reviews applications for (1) Spring semester end-October, mid-December and mid-January; (2) Summer I term mid-April; and, (3) Fall semester mid-April, mid-June and end-August.

The Admissions Office must receive all required documentation (see above) for each candidate, prior to their full-review by the Admissions Committee. Applicants are therefore expected to submit their completed documentation at least two weeks prior to the scheduled application review dates, specified above.

### **Entry Dates**

Classes in the graduate programs begin in Fall (early September), Spring (early January), and Summer I (early May). For specific starting dates, please consult the *Academic Calendar* section of this *Catalog*.



**Interpretation:** Graduate Admissions Committee

**Ownership:** Dean of the School

**Publication:** Graduate Catalog

SUMMARY OF CHANGES		
Date	Section	Change
January 20, 2019	Entire policy	Changes in admission process relevant to all current graduate degree programs.

<b>ENROLLMENT AND REGISTRATION POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AC-G-02**

### **PURPOSE**

The purpose of this policy is to outline the standards for the enrollment and registration of graduate students at AUD. It defines terms and describes the procedures to be followed in the enrollment and registration process.

### **POLICY**

#### **Academic Year**

AUD defines the academic year as a period of time in which a full-time student is expected to complete two semesters (Fall, Spring) of instructional time. A full-time student is expected to complete a minimum of 24 credits within the academic year. (Students on the university's visa must register for 15 credits per semester in the Fall and Spring semesters in order to maintain the required full-time status.)

AUD's academic calendar operates on the semester system with each semester consisting of 15 weeks of scheduled classes plus a 16th week for study/make-up classes and final examinations. The Summer sessions are optional and fall outside the academic year. A detailed Academic Calendar is included in the undergraduate Catalog.

#### **Official Student Schedule**

The student's official schedule is recorded by the Registrar at the end of Drop/Add. Students may view this schedule on [schedule.aud.edu](http://schedule.aud.edu).

#### **Academic Credit Hours and Course Load**

In calculating credit hours, AUD's courses must follow the above principle and apply the ratio between the value of an hour of lecture and an hour of another form of delivery (e.g, 1:.5) in determining the credit hours assigned to a course. However, there may be a reason to propose a deviation. Proposals to deviate from this ratio of contact hours to credit will only be considered for the non-lecture-based component comprising a given course. The amount of contact time required to constitute a credit hour may be adjusted, depending on judgment concerning the instructional intensity or other factors of this component of the course.

The normal academic load at the university is 15 credit hours per semester and two courses for either Summer session. Students wishing to carry additional hours may do so with the approval of their advisor. Overloads not exceeding one course may be permitted in Fall and Spring for students in good academic standing (i.e., carrying a minimum 2.5 CGPA). For Summer sessions, overloads not exceeding one course may be permitted for students carrying a minimum 3.0 CGPA. Different schools may have higher CGPA and additional requirements.

### **Course Sequence**

While it is difficult to generalize from program to program (and student to student), the university has firm beliefs concerning course sequencing in terms of what makes academic sense and will enable students to complete their degree requirements by the expected date of graduation.

Students should consult the course sequencing charts in the program-specific sections of this Catalog. See pp. 79, 110-112 for regulations regarding the satisfaction of Arts and Sciences requirements.

### **Interruption of Degree Progress**

When a student interrupts progress towards completion of his or her degree for one calendar year or more, he or she must re-apply to the university in order to resume their studies. The application for re-admission will entail a review of the student's record by the Admissions Office which, in consultation with the Office of Academic Affairs, may require the student to fulfill (in all or in part) the degree requirements in effect at the time readmission is requested. These requirements may differ from those in effect at the time the student was first admitted to the university.

### **Withdrawal from the University**

AUD students intending to withdraw from the university must submit a written notice to the Registrar's Office by filling the AUD Withdrawal Form available online. Any outstanding tuition or fee charges owed must be paid at the time of withdrawal. Student requests for official or unofficial AUD transcripts are not honored until outstanding charges are paid.

The Last Date of Attendance is used as the official date of withdrawal in all cases for refund calculations. W or F grades will be assigned to all courses based on whether the withdrawal occurs before (W) or after (F) the term withdrawal date specified in the university Calendar.

### **Readmission Following Interruption of Degree Progress**

Students who seek re-entrance following a period of suspension must follow the procedures listed on pp. 84-85 of this Catalog under "Readmission from Academic Suspension." Regardless of his or her academic status at the time of leaving AUD, if the period of interruption of degree progress is for one calendar year or more, the student must reapply to the university through the Admissions Office. Returning students will be required to complete the degree requirements as stated in the Undergraduate Catalog in effect at the time of their re-enrollment. Should the student have taken courses at another institution during his or her absence from AUD, a minimum CGPA of 2.0, supported by an official transcript, is required for re-admission. The granting of transfer credit is at AUD's discretion. AUD may require higher than a 2.0 minimum CGPA. As this depends on the university from which the student is returning to AUD, all returning students should consult an AUD Admissions Office for the requirement pertinent to the institution attended during the interruption of degree progress.

### **Time Limit for Completion of Graduate Programs**

All graduate course work and other requirements must be completed not later than five calendar years from the date of initial admission to the graduate program. Study terms, inactive terms during which the student was not registered in any courses, and, if relevant, the three-terms time limit for completion of a thesis (plus the one-term extension, if applicable) will all be counted in determining adherence to this time limit. However, terms during which the student was registered in Foundation (non-600 level) courses will not be counted in this determination.

### **Address Change**

It is the responsibility of the student to apply for data change online in the event of any address/contact change. The Registrar will then update the information on the student information system.

### **Name Change**

Students' names are recorded per their passport upon enrollment to the University. Any name change must be authenticated by a passport or other appropriate documentation.

### **Request for Transcripts**

A transcript is not considered official unless it is issued by AUD. Requests for transcripts from The American University in Dubai must be made online by filling out a request form at the Registrar's Office. The fee for each official transcript is 50 20 AED. Students should allow two to four working days for the processing of transcript requests. Clearance by finance, library, and director of central services (if applicable) is required. He/she must first obtain approval from the Finance Office, the Library and the Director of Central Services (if applicable). Students can request special mail services at an additional cost. No official transcripts are issued to a student whose file is incomplete.

**Interpretation:** Registrar

**Ownership:** Dean of the School

**Publication:** GR Catalog

SUMMARY OF CHANGES		
Date	Section	Change

TRANSFER CREDIT POLICY (GRADUATE)	
Effective Date	Fall 2009
Date of Last Update	January 20, 2019

## POLICY AC-G-03

### PURPOSE

The purpose of this policy is to establish the guidelines for the award of transfer credits at the graduate level.

### POLICY

#### Transfer Credits

Requests for the transfer of graduate credits completed at other accredited institutions of higher learning towards completion of a graduate program at AUD will be evaluated by the appropriate Admissions Committee on a case-by-case basis. The number of graduate courses transferred or accepted for credit towards a graduate degree at AUD may not exceed two (2) courses or six (6) credit hours. A grade of "B" and above is required.

### PROCEDURE

As a rule, such transfer or acceptance will be highly restricted and may only be granted in cases where there is ample evidence that the graduate coursework in question is at least equal in scope and quality to comparable graduate coursework at AUD. In assessing such evidence, the appropriate Admissions Committee will make use of a wide variety of instruments and information sources, such as recognized guides to post-secondary institutions and programs, the other institutions' catalogs and/or web sites, course syllabi, and letters from instructors at other institutions describing in detail the applicant's work in these courses. In all cases, students must earn the final year credits towards the graduate program at AUD.

**Interpretation:** Graduate Admission Committee

**Ownership:** Dean of the School

**Publication:** GR Catalog

SUMMARY OF CHANGES		
Date	Section	Change
January 20, 2019	Entire Policy	Rewritten to provided more clarity and specificity.

GRADING POLICY (GRADUATE)	
Effective Date	Fall 2009
Date of Last Update	January 20, 2019

## POLICY AC-G-04

### PURPOSE

The purpose of this policy is to establish the standards for course grades at the graduate level.

### POLICY

Letter grades are issued to students at the completion of each semester/term. Grades are based on the quality of work as shown by written tests, term papers, presentations and projects as indicated on the course syllabus.

### PROCEDURE

The following scale is used in the evaluation of academic performance and grading in all graduate programs:

	Letter Code	Description	Quality Points
Earned Grades	A	Excellent	4.00
	A-	Very Good	3.70
	B+	Good	3.30
	B	Good	3.00
	B-	Acceptable	2.70
	C+	Minimally Accepted	2.30
	C	Minimally Accepted	2.00
	F	Failing	0.00
	P	Thesis, Pass	n/a
	I	Incomplete	n/a
	AU	Audit	n/a
	IP	Thesis, In Progress	n/a
	TC	Transfer Credits	n/a
	W	Withdrawal	n/a

### COURSE GRADE DEFINITIONS:

#### A | Excellent

This grade is awarded for outstanding academic performance and the demonstration of exceptional mastery of the subject matter of the course.

#### B | Good

This grade signifies average academic achievement as evidenced by work that exceeds the minimum expectations for passing the course.

#### C | Minimally Acceptable

This grade designates academic achievement at the minimum level required for passing the course.

*\* A + or – following a grade indicates somewhat higher or lower performance than that reflected by the definition provided.*

### **F | Failure**

This grade indicates failure to meet the minimum requirements for satisfactory completion of the course. It carries no quality points, and the course must be repeated and passed before credit is granted.

### **I | Incomplete**

This grade is issued in rare cases for extenuating non-academic circumstances that prevent the student from completing all course requirements on time. A grade of “I” requires the approval of the Program Director. The incomplete coursework must be completed by the end of the subsequent term; otherwise, the Incomplete will be changed automatically to a grade of F.

### **AU | Audit**

No credit is given for audit (AU) classes, nor is the grade included in the student's academic average. Students must receive written approval from the Program Director to audit a class, or classes, prior to the first day of the semester. Instructor approval may be required for some courses.

### **W | Withdrawal**

Students who withdraw officially from graduate courses (using the designated withdrawal form) before the final examination will receive a grade of W. Credits for the course in which the grade of W was awarded are considered attempted credits, but are not included in the CGPA calculation. A grade of W may not be awarded after the final examination in the course.

### **IP | In Progress**

This symbol is used in lieu of a grade when a thesis is still in progress. It is assigned at the end of the first term of registration for the thesis, and in subsequent terms within the time limit for completion, until the thesis is completed, submitted, evaluated and a final grade (P or F) is assigned. No credits are awarded for a thesis while it is in progress.

### **P | Pass**

This grade is awarded upon satisfactory completion of the thesis. Thesis credits are considered attempted credits once a grade of P or F is issued, but are not included in the CGPA calculation.

### Grade Point Average

Earned quality points are calculated for each course by multiplying the quality point value for the grade received for the course by the credit–hour value of the course. For example, a three-credit course with a grade of B would earn nine quality points [credit value of course (3) times quality point value of B (3)]. The Cumulative Grade Point Average (CGPA) is calculated by dividing the total earned quality points by the corresponding number of attempted credits.

Course	Credits Attempted	Grade	Quality Point Value	Quality Points (multiply credits by grade value)
Course 1	3	A	4	12.0
Course 2	3	B	3	9.0
Course 3	3	C	2	6.0
Course 4	3	B-	2.7	8.1
Course 5	3	F	0	0
<b>Totals</b>	<b>15</b>			<b>35.1</b>
<b>CGPA <math>35.1/15 = 2.37</math></b>				

### Grade Changes

All grade changes must be processed within one month subsequent to the issuance of the grade. Faculty members must apply online for the Grade Change and attach evidence supporting the change through the link <http://registrar.aud.edu>. The request must be signed and approved by the Dean, Associate Dean or Chair and the Provost and Chief Academic Officer before it is processed and updated by the Registrar's Office.

### Application of Grades and Credits/Repeating a Course

An asterisk appearing next to the grade indicates that the course was repeated due to a low grade (B- or lower) obtained the first time the student took the course. A student may repeat a course previously taken and failed, to replace a grade of W, or to try to improve a passing grade achieved the first time the student took the course. (See *Limit on Repeated Courses* in the *Graduate Catalog*.) When a course is repeated, a new grade is assigned in the semester or term in which the course was retaken. Both the original grade and the new grade are reported on the transcript.

The original (older) grade will be followed by an asterisk (\*) indicating that the course has been repeated. Credits for both the original taking and the retaking of the course will be counted as attempted credits; i.e., both the original grade and the new grade will be included in the CGPA computation. However, In the M.B.A. program, the higher grade (whether the original or the new) will replace the lower grade and the latter will not be included in the CGPA computation. All earned grades, including P and F, are included in the CGPA computation. Grades of I, AU, IP, TC, and W are not earned grades and are not included in the CGPA computation.



## **Grade Appeal**

Questions and concerns about grades often result from misunderstandings about grading practices and expected standards. Direct communication between instructors and the students usually clear up these misunderstandings. In some cases, however, a grade appeal is warranted.

Students have the right to appeal a grade and request a reconsideration of the assigned grade within one month subsequent to the issuance of the grade; however, they must provide sufficient, tangible evidence to support their request for a re-examination of the assigned grade.

### Reasons for reconsideration of a grade appeal may include:

- Miscalculation of marks;
- Misgrading of a paper, project or exam;
- Application of an evaluation or grading system which was not included in the course syllabus;
- A departure from the instructor's previously announced standards;
- Assignment of a grade on some basis other than the student's performance in the course;
- Demonstrable evidence of discrimination or prejudice in the assignment of the grade;
- Arbitrary assignment of grade (lack of consistent and equitable standards for grading).

### Grade Appeals will be dismissed if:

- Allegations by the student do not indicate erratic grading;
- The basis of the disagreement is with the instructor's particular grading standards; or
- The appeal is not submitted within the given one month period subsequent to the issuance of the grade.

## **Online Grade Appeal Application**

The online grade appeal application is accessible through the AUD website under the *Registrar's Webpage*: <https://registrar.aud.edu/>

## **Grade Appeal Procedure**

- The student should make an appointment with the appropriate instructor when there is any question about a particular grade or the instructor's grading policy. Students in the Study Abroad Program (SAP), if they have returned to their home countries, may contact the instructor via telephone or email;
- Subsequently, ***if students wish to file for a grade appeal***, they log into the *Grade Appeal Application* available under the *Registrar's Webpage*: <https://registrar.aud.edu/>
- Once a grade appeal is submitted, the course instructor receives a notification email prompting him or her to log into the application and confirm meeting with the student and entering his or her remarks;

- The Chair of the department offering the course in which the grade appeal is made will then follow up on the case and enter his or her decision to the system.
- Students and concerned faculty will receive an update on the status of the appeal via email. If the grade appeal is approved by the Department Chair, the instructor will proceed with the grade change, with an explanation of the reasons and the new grade. In the event that the appeal is not approved by the relevant Chair, students may choose to appeal to the Dean, who will then follow up on the case and enter his or her decision to the system.
- The student, concerned faculty, and Chair will receive an update on the status of the appeal via email. If the grade appeal is approved, the instructor will proceed with the grade change, with an explanation of the reasons and the new grade. In the event that the appeal is not approved by the relevant Dean, the student may raise the appeal to the Provost and Chief Academic Officer for review.
- The Provost and Chief Academic Officer will discuss the questions raised with the instructor, give the student a perspective regarding the grade and review the mechanism for appeal.
- The student, concerned faculty, Chair, and Dean will receive an update on the status of the appeal via email. If the grade appeal is approved, the instructor will proceed with the grade change online.

**Note:** AUD does not have a university-wide late work policy. Each course instructor is responsible for developing a late work policy for his or her course and communicating that to the students via the syllabus.

**Interpretation:** Graduate Program Director

**Ownership:** Provost and Chief Academic Officer

**Publication:** Graduate Catalog

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	All	Converted from MBA to general graduate policy.
June 2009	Grading System	Procedures for the late submission of coursework added.
January 20, 2019	Entire Policy	Rewritten to align with current best practices

<b>ACADEMIC PROGRESS POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 20, 2019

## **POLICY AC-G-05**

### **PURPOSE**

The purpose of this policy is to establish what constitutes satisfactory academic progress at the graduate level.

### **POLICY**

All students must maintain satisfactory academic performance in order to remain enrolled at AUD. Academic standing is evaluated periodically by measuring each student's cumulative Grade Point Average (CGPA). Students are expected to meet minimum CGPA requirements in order for their academic performance to be considered satisfactory. *Graduate students are required to maintain a minimum CGPA of 3.0 throughout their enrollment in order to be in good academic standing.* A student's CGPA will be reviewed at the end of each academic term after grades have been posted to determine whether the student is in good academic standing. Students admitted to an AUD graduate program on probation must attain a CGPA of 3.0 or higher at the end of their first term in the program.

### **PROCEDURE**

#### **Limits on Grades**

##### **1. Limits on Grades of C or C+**

Grades of C and C+ are considered Minimally Acceptable for the purpose of passing a course. No more than two grades of C and/or C+ will count toward completion of the degree requirements. A student who earns C and/or C+ in three core courses must repeat one of these courses and secure a grade of B- or higher in order to satisfy the degree completion requirements. A student who earns a third grade of C or C+ in an elective course may either repeat the elective or take another elective instead.

##### **2. Limits on Grades of F**

A student who receives a grade of F will be placed on Academic Probation. The course in which an F is earned must be retaken the next term the course is offered. *A student who receives a second F grade will be subject to termination from the graduate program.*

##### **3. Limit on Repeated Courses**

A graduate student may not repeat more than three courses. Within this limit, the same course may only be repeated once. All failed courses must be repeated. *Failure in the same course twice will result in terminating the student's enrollment in the graduate program.*

##### **4. Limit on Ws**

Students who withdraw from a course receive a grade of W. Students may receive no more than three W grades.

### **Academic Probation**

In its review following the end of each semester or term, the program's Graduate Academic Committee will identify cases of noncompliance with the above standards and place the following students on academic probation:

- Students whose CGPA has fallen below 3.0.
- Students who have earned a first grade of F in a course.

The Graduate Academic Committee will inform each student placed on probation, in writing, of the specific conditions required for reversion to good academic standing. In all cases, students on academic probation (other than those admitted on probation) must maintain a term GPA of 3.0 or higher until they revert to good academic standing. If a student fails to maintain a minimum term GPA of 3.0 or higher in any subsequent semester, the student will be dismissed from the graduate program.

### **Conditions Applicable to Students on Academic Probation**

Students on Academic Probation must consult with the Program Director prior to selecting their courses and obtaining their academic advisor's approval to register.

### **Appeal of Termination**

A student who has been terminated from the graduate program may be readmitted by filing an appeal to the Program Director, within fifteen days of notification. The School housing the program will reach a decision upon critically assessing the student's academic performance, his or her overall contributions to the classroom learning environment, and his or her prospect for successfully completing the program. The School's decision must be ratified by the Provost and Chief Academic Officer, and will be communicated by the School to the student in writing within five days from receiving the appeal. If the appeal is denied, the student has the right to submit a final appeal of the decision to the President within three days from notification of the denial. The President's decision will be final and will be advised to the student in writing within three days from receiving the appeal.

### **Inactive Status**

Graduate students (including those taking Foundation courses) who do not register for two consecutive terms will be considered "inactive" and will be notified of their status by their program's Academic Committee in writing. Inactive students will be required to make their plans known to their Program Director, also in writing, regarding resumption of their studies. As a rule, students who are inactive for two consecutive terms beyond the first two, i.e., for a total of four consecutive terms of non-registration, will be terminated. Exceptions to this rule must be approved by the respective Program Director on a case-by-case basis.

Should inactive students who have been dropped from a graduate program eventually decide to resume their studies, they will be required to apply for readmission to the program. *Approval of readmission will not be automatic but will be decided on a case-by-case basis.*

### **Readmission Following Interruption of Degree Progress**

A student desiring to re-enroll at AUD after a period of one year from the official date of withdrawal or inactivity is considered a new student. Should the student decide to resume their studies, they will be required to apply for readmission to the program and will be required to complete the degree in accordance with the *Graduate Catalog* in effect upon their reenrollment.

A student desiring to re-enroll after less than a one year period since the official date of withdrawal should contact the Registrar's Office to initiate the reenrollment process.

### **THE GRADUATE ACADEMIC COMMITTEE**

The Graduate Academic Committee for each program consists of two full-time graduate faculty members and the Program Director as Chair. The Committee reviews the status and academic performance of graduate students each term to ensure that the academic standards of the graduate program are met. The Committee makes decisions on specific actions or future levels of academic performance that are required of students who are found not to be in good academic standing, and these decisions are communicated to each student in writing.

**Interpretation:** Graduate Program Director

**Ownership:** Dean of the School

**Publication:** GR Catalog

SUMMARY OF CHANGES		
Date	Section	Change
January 20, 2019	Entire Policy	Amended to ensure alignment to best practices

<b>ATTENDANCE POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AC-G-06**

### **PURPOSE**

The purpose of this policy is to establish attendance requirements for all graduate courses.

### **POLICY**

At the graduate level, classroom activities and the learning process in general can be greatly enriched through active participation and engagement of students. It is therefore expected that students will continually contribute to the learning outcomes of the program by attending all class sessions and bringing their diverse professional backgrounds to bear on the lectures, discussions, presentations, and other classroom activities.

While attendance will be taken at the start of each class session, it is not attendance per se, but the amount and quality of class participation that may, at the discretion of the instructor, be included in the evaluation plan and final grade determination for the course. The weight assigned to class participation may vary depending on the subject matter and nature of each course, but will not exceed 15% of the final grade. Instructors will state their policy on class participation in their course syllabi, including the weight assigned to the latter in the final grade determination.

**Interpretation:** Academic Deans and Chairs

**Ownership:** Dean of the School

**Publication:** Graduate Catalog

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
January 31, 2019	Entire Policy	All sections to ensure alignment with best practices

<b>GRADUATE THESIS POLICY</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AC-G-08**

### **PURPOSE**

The purpose of this policy is to provide guidelines for eligibility and completion of a graduate thesis.

### **POLICY**

A thesis provides students with the opportunity to gain research and development skills within their discipline. A thesis is generally reserved for students who are in the final stages of their studies. Thesis requirements vary according to program. While some programs may have a thesis available as an advanced elective, other programs may require a thesis as part of the degree requirements. Students are advised to consult their Program Director regarding degree requirements and their eligibility to participate in a thesis writing course.

### **PROCEDURE**

#### **Thesis Application**

Applications for a thesis must be discussed with the Program Director to obtain specific guidelines for a program/concentration. The selection of a thesis supervisor and any additional committee members will vary according to the requirements of a program/concentration.

Once a thesis supervisor and any required committee members have been identified, the student must submit to the Thesis Supervisor a short, written thesis proposal consistent with what was agreed upon in principle, and must include a tentative outline and a timetable for completion of each part of the proposed thesis. Full requirements for a proposal may be obtained from the Program Director. The Thesis Supervisor must then approve the Proposal or request modifications and re-submission of the Proposal by the student.

#### **Acceptance of the Proposal and Registration**

The Thesis Supervisor will indicate approval of the Thesis Proposal by writing a memorandum to the Program Director, and attaching a copy of the approved Proposal. The Program Director will then sign the Approval Memorandum, obtain the Dean or Chair's signature if required, and send a copy to the Registrar's Office, clearing the student to register for the thesis.

#### **Evaluation and Grading**

Upon completion, the Thesis will be submitted to the Thesis Supervisor. A copy (digital or print and as requested) will be provided by the student to each member of the Thesis Committee. The Thesis Supervisor will evaluate the Thesis together with the other Thesis Committee Members. The results of this evaluation will be discussed by the Committee. The Thesis Supervisor will then assign a grade (P or F) to the thesis on a Thesis Evaluation Form, which must carry the signatures of the Thesis Supervisor and the other Thesis Committee Members. The signed form assigning the grade must be submitted to the Registrar's Office.

### Deposit and Access of Thesis

A bound copy of the accepted Thesis will be submitted to the Program Director's Office, and a second bound print or digital copy will be submitted to the University Library. A *Library Thesis Deposit & Access Agreement* should first be completed by the student and in consultation with the Thesis Supervisor. The Thesis Supervisor should refer to the *Research Ethics Policy* in advising the student on the appropriate access choice. On receipt of both the agreement and the copy of the thesis, the Library will notify the Registrar's office to conclude the deposit process.

### Time Limit for Completion

A thesis must be completed within three consecutive academic terms. During each term while the Thesis is in progress, the IP grade designator will be used in lieu of a grade. With the approval of the Thesis Supervisor and the Graduate Program Director, the student may be granted a single one-term extension of this time limit. Failure to obtain such an extension and non-submission of a final grade for the Thesis by the end of the three-term period will cause the IP to be converted automatically to an F. Similarly, if the one-term extension is granted but the student fails to complete the Thesis by the end of that term, the IP would automatically be changed to an F.

### Thesis /Capstone Requirements by Program

Please refer to the relevant graduate catalog for program requirements.

**Interpretation:** Graduate Program Director

**Ownership:** Provost and Chief Academic Officer

**Publication:** GR Catalog

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updated to provide greater alignment to standards



GRADUATION POLICY (GRADUATE)	
Effective Date	Fall 2009
Date of Last Update	January 21, 2019

## POLICY AC-G-09

### PURPOSE

The purpose of this policy is to establish the graduation requirements for graduate students.

### POLICY

#### Award of Degrees

The American University in Dubai will award degrees at the end of the academic semester or summer session. To be eligible for graduation, graduate students must:

- Be in good academic standing (cumulative GPA of 3.0 or higher);
- Have completed all their degree requirements;
- Must have earned the final year credits at AUD;
- Consent by the Program Director that all program requirements have been met;
- clearance by finance office for all financial obligations (including AED600 Diploma Processing Fee);
- clearance by the Library; and
- clearance form Central Services if the student is on a university-sponsored visa.

#### Participation in Annual Graduation Ceremony

The American University in Dubai holds its Commencement Exercises once a year following the *Spring* semester. In order to be eligible to participate, candidates for *graduate* degrees:

1. must be in good academic standing (cumulative GPA of 3.0 or higher) as of the end of the *Spring* semester; and
1. must have *not more than one course (3 credits, including Thesis)* remaining for completion of their degree requirements by the end of the *Spring* semester preceding the graduation ceremony; and
2. must complete the remaining course not later than the Fall semester of the same academic year; OR (in the case of a Thesis) must have an approved Thesis Proposal with a completion timeline and an assigned Thesis Advisor;; and
3. must complete the application to participate in the graduation ceremony online <http://registrar.aud.edu/>, which includes a commitment to take their remaining course and complete their degree requirements as soon as that remaining course is offered (not later than the Fall semester of the same calendar year,), OR, in the case of Theses, within the time limit for completion as published on this page.

Exceptions:

- Students who are approved for participation in the graduation ceremony before completing all degree requirements, as described above, are not eligible for the Graduate Program Award at the graduation ceremony.
- Administration of the above policy is the purview of the Registrar's Office. Any situation requiring more specific interpretation of the policy will be referred to the Provost and Chief Academic Officer.

### **Degree Requirements**

To be eligible for graduation with a Master's degree, students must fulfill all degree requirements. Students on a previous curriculum may choose to fulfill the requirements of that curriculum or the current one. Program-specific requirements as they now stand are outlined in the graduate catalog.

### **Credit Hour Requirements**

The total number of credit hours required in each degree program is clearly stated in the respective sections of the Graduate Catalog.

### **Diploma Request**

A student may not request a diploma any earlier than the scheduled date of graduation. The request must be completed online <http://registrar.aud.edu/> prior to the end of the student's final semester. Failure to complete the application online by the specified date may result in either a delay in receiving the diploma or an additional charge.

Diplomas are available for personal pick-up by students at the Registrar's Office. A student who prefers an alternative for collecting or receiving his or her diploma should specify in the online request, and pay the additional fees for courier services. (For purposes of graduation verification, the university can provide a letter [stamped] to the student until their diploma is issued.)

**Interpretation:** Graduate Program Director  
**Ownership:** President  
**Publication:** Graduate Catalog

SUMMARY OF CHANGES		
Date	Section	Change
23 February 2010	Participation in Annual Graduation Ceremony	<b><u>From:</u></b> Must complete <b>all</b> their degree requirements by the end of the <b>Spring</b> semester <b><u>To:</u></b> must have <b>not more than one course (3 credits, including Thesis or Internship)</b> remaining for completion of their degree requirements by the end of the <b>Spring</b> semester preceding the graduation ceremony. Points 3 and 4 added.
January 31, 2019	Entire Policy	Moved various sections around to provide procedure clarity, and added degree and credit hour requirements and student responsibility

<b>GRADUATE ASSISTANTSHIP POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 21, 2019

## **POLICY AC-G-10**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for the selection of graduate assistants and to outline the responsibilities of the position.

### **POLICY**

A limited number of graduate assistantships (GA) is available to full-time graduate students (i.e., students enrolling in at least 6 credit hours). Selected students will receive tuition support during the period of assignment. Students are advised to contact their Program Director as not all programs offer graduate assistantships.

### **Role and Responsibilities of Graduate Assistants (GAs)**

Graduate assistants (GA) will work closely with faculty members in their respective programs, and serve as mentors to undergraduate students. As graduate students, GAs will be selected based upon their academic achievements, commitment to education, and willingness to work closely with undergraduate students and professors. As instructional apprentices, GAs work under the close supervision of faculty members. GAs will also assist faculty in developing and compiling course materials, help in grading of assignments and examinations, and proctoring examinations. In addition to tuition support, GAs will acquire invaluable classroom experience. GAs will be evaluated each term in accordance with AUD's performance appraisal procedures.

### **Summary of responsibilities:**

- Obtain information from the library and other sources, to facilitate the achievement of classroom learning objectives;
- Assist in conducting tutorial sessions, in excess of those offered during faculty office hours;
- Assist in the proctoring and grading of examinations.

### **Selection Criteria for GAs**

- The selection of GAs by each academic unit is based upon their academic standing within the graduate program, and their level of dedication to graduate and the overall learning objectives of their respective school or department.
- Graduate assistants are required to be present on campus, in their designated workspace, for 20 hours per week.

- Applicants must have a minimum cumulative GPA of 3.0, and must remain in good academic standing throughout the duration of the assistantship.
- Applicants must be enrolled in at least 6 credit hours during the semester of appointment (3 credits in a summer term), and are required to maintain this level of enrollment throughout the period of their appointment.

**Interpretation:** Deans, Chairs and Graduate Program Directors

**Ownership:** Provost and Chief Academic Officer

**Reference:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
19 February 2009	The Policy Role and Responsibilities of Graduate Assistants	Teaching assistant is replaced with Graduate assistant. A statement on the GA performance appraisal is added.

<b>ACADEMIC ADVISING POLICY (GRADUATE)</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 15, 2019

## **POLICY AC-G-11**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for academic advising at the graduate level.

### **POLICY**

Graduate students should contact their Program Director for academic advising and approval of courses prior to registration.

### **PROCEDURE**

Students are encouraged to maintain close contact with their Program Director during their time at AUD. Program Directors provide them with information and perspective related to academic policy and concerns, specific course related problems/issues and other academic matters. However, students are required to become intimately familiar with the various program requirements and necessary requisite coursework and sequencing and are expected to assume responsibility for program planning and course selection.

Ultimately, the responsibility for fulfilling degree requirements rests squarely with the student.

The basic tasks of the University's academic advising program are to help students identify and achieve their academic goals and to become self-directed learners and decision makers. Program Directors should:

- help the student navigate the academic and administrative processes and programs of the University;
- aid the student in understanding standards and requirements and offer a perspective on the likelihood of success in certain areas of study;
- engage the student in discussions on educational and career objectives and how they relate to current or expected courses of study;
- assist the student in formulating a course of study after giving advice about courses; and
- serve as a contact for referral to other campus resources.

**Interpretation:** Academic Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Graduate Catalog, Faculty Handbook, Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

INSTITUTIONAL EFFECTIVENES AND PLANNING POLICY	
Effective Date	Fall 200
Date of Last Update	February 13, 2019

## POLICY AD-I-01

### PURPOSE

The purpose of this policy is to establish a university-wide coordinated planning and assessment process. A chart illustrating the process is included.

### POLICY

Planning and institutional effectiveness starts with the development of the institution's mission statement and goals, which set the direction of the university. Evaluation of these goals determines the extent to which an institution achieves its mission and goals and is central to all operations and activities of the institution. It involves a systematic comparison of a university's mission to its performance.

### OVERVIEW

The IE planning process at AUD involves three tiers of planning and assessment. The first tier is at the institutional level and is the University Strategic Plan, which serves as the master plan of the university that is revised every five years. The second tier is conducted at the program or administrative unit level and includes the *Outcome Assessment Report and Plan and Report* (OARP). Also in this tier is the intensive five-year external review of all academic programs. The third tier occurs at the course level and is the planning and assessment that occurs each time a course is taught (i.e., Course Effectiveness Report). All three tiers include the establishment of intended outcomes; targets; the extent to which the outcomes have been achieved; changes based on assessment findings; and an action plan for continuous improvement and closing the loop.

The IE assessment process allows AUD to document efforts in setting goals, measuring attainment of those goals, and using the results to make changes to continually improve student learning and institutional services. Through this process, the university is committed to effective planning in support of its mission. In addition to this self-improvement purpose, the IE process is used in response to external requests for accountability.

All units of the university participate in the annual planning process. Unit plans must reflect the University Strategic Plan, the Vision, and the strategic priorities of the University that are outlined by the President annually. Program plans must measure student learning outcomes. Units, when possible, should also measure student learning outcomes. The five-year self-studies (developed in conjunction with external program reviews) enable the university to inventory its degree programs in order to provide the most current and relevant study topics. Assessment results are used for continuous improvement of university programs and services. Results that generate new initiatives are inputs into the planning process; through the budgeting process, funding is allocated to support priorities identified through planning.

The Institutional Effectiveness Office directs the planning and assessment process and seeks input from the Institutional Effectiveness Steering Committee (comprised of faculty and staff representatives) to provide guidance for the assessment and planning process.



## PROCEDURE

The planning process is outlined in the Institutional Effectiveness Manual that has been created as a guideline to IE at AUD. In the Institutional Effectiveness Manual, the process for each of the following activities is explained in detail, including timelines:

- The Strategic Plan (5 year cycle)
- The review of the Strategic Plan (annually)
- The Outcome Assessment Report and Plan and Report (annually)
- The intensive academic program review Plan (self-study/external review) (5 year cycle)
- The Course Effectiveness Report (each semester)

AUD measures its effectiveness as an institution through ongoing assessment activities and by using the results of these assessments in order to aid in decision-making, budgeting, and self-improvement. The comprehensive and coordinated effort involves a systematic and on-going process of collecting, interpreting, and acting on information relating to the goals and outcomes developed to support the program or unit's mission and purpose, which in turn supports the university's mission and goals.

## BENEFITS

The potential benefits to AUD include:

- a broader level of understanding regarding the overall direction of the institution and directions to be going in order to produce desired results;
- the allocation or reallocation of institutional resources in accordance with these changing priorities and conditions;
- improved incorporation of major institutional processes;
- a stronger basis for data-driven decision-making,
- a stronger basis for responding to requests for both external and internal reports and/or documentation; and
- greater efficiency in all institutional operations.

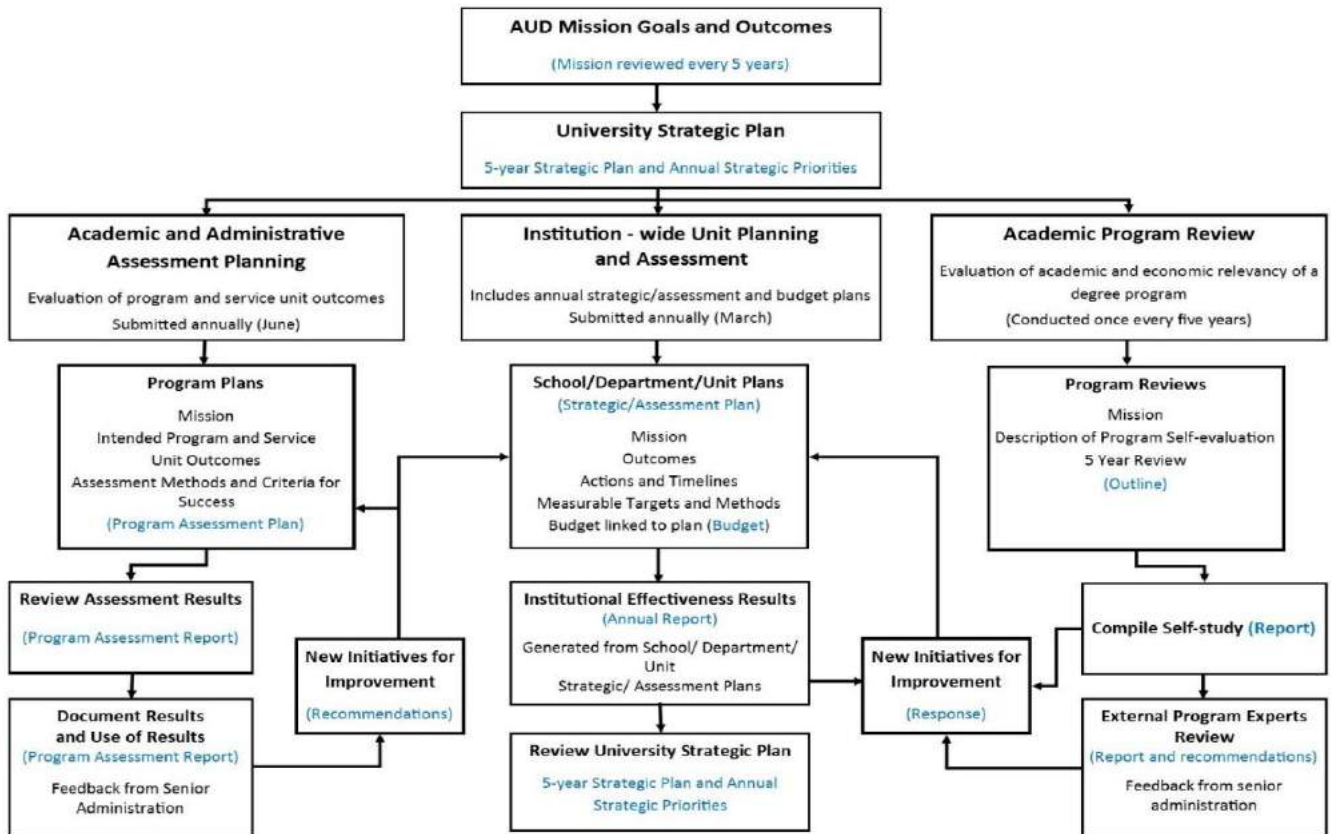
**Interpretation:** Director of Institutional Effectiveness

**Ownership:** President

**Publication:** Institutional Effectiveness Manual

SUMMARY OF CHANGES		
Date	Section	Change
January 24, 2019	Policy and Procedure	Terminology and syntax
February 13, 2019	Title	Amended title to Institutional Effectiveness and Planning Policy

## AUD Institutional Effectiveness Process



<b>SURVEY ADMINISTRATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-I-02**

### **PURPOSE**

This policy is aimed at ensuring that surveys administered to the AUD community are aligned to the mission of the University and driven by best practices and ethical research methods.

### **TYPES OF SURVEYS**

Surveys can be divided into two categories: questionnaires and interviews. Questionnaires may be administered through online survey instruments, or through the traditional paper and pencil approach. Interviews are administered to individuals and groups using telephone, online, or face-to-face interviews.

### **POLICY**

Before a survey is administered to the university community, the appropriate university administrators will evaluate it and submit it to the Institutional Effectiveness Office for review and approval. The approval process depends on the purpose of the surveys and the relationship between survey administrators and participants.

Survey administrators requiring official approval before administering surveys include:

- A. Members of the university community seeking to evaluate opinions and attitudes of other university community members as part of academic research;
- B. Members of the university community seeking to evaluate opinions and attitudes of other university community members to inform and influence university policy;
- C. External individuals/organizations seeking to collect information as part of a formal research project (i.e. doctoral and market research).

### **PROCEDURE FOR OBTAINING PERMISSION TO ADMINISTER SURVEYS**

- A. Members of the university community (faculty/staff/students) as part of academic research/course work;
  - If the research is conducted to satisfy AUD course requirements, the survey should be approved by the faculty member teaching the course. If required by the department, the faculty member will inform/gain approval from the Dean/Associate Dean/Chair or his/her designee.
  - If the research is conducted to satisfy requirements for courses outside AUD or for other types of academic research and publication, the request should be directed to the academic unit Dean/Associate Dean/Chair or administrative unit head aim of the survey.

Once approval has been provided by the Dean/Chair or administrative head, the request should be submitted to the Director of Institutional Effectiveness for evaluation of the survey instrument.

Surveys aimed at the whole university community should be directed to the Director of Institutional Effectiveness who will coordinate with the units to be surveyed.

The following information and materials must be provided through an application to the appropriate recipients in the approval process:

- Name of organization (if not AUD)
- Name of lead investigator
- Survey purpose and objectives
- Desired target population
- Means of data collection
- Assurance of participants' anonymity
- Copy of the survey
- Copy of the consent form
- Intended future use of collected information
- Agreement to provide a copy of the final report to AUD

Requesters will be notified of the final decision within seven days of receiving their requests.

B. Members of the university community (faculty/staff/students) as part of a research to inform and influence university policy

The following information and materials must be provided through an application to the Director of Institutional Effectiveness for evaluation:

- Name of lead investigator
- Survey purpose and objectives
- Desired target population
- Means of data collection
- Assurance of participants' anonymity
- Copy of the survey
- Copy of the consent form
- Intended future use of collected information
- Agreement to provide a copy of the final report to AUD

The Institutional Effectiveness Director will review the proposal application and related information and will seek approval from the Provost and Chief Academic Officer and the President.

The IE Director will contact the research applicants with a final decision within seven days of receiving their requests.

C. External individuals/organizations as part of a formal research project

The following information and materials must be provided through an application to the Director of Central Services:

- Name of organization (if applicable)
- Name of lead investigator
- Survey purpose and objectives
- Desired target population
- Means of data collection
- Ensuring that participation is voluntary
- Assurance of participants' anonymity
- Copy of the survey
- Agreement to provide a copy of the final report to AUD

**Procedure:**

- The Director of Central Services will review the proposal application and will determine if the external individual/organization should be granted access (online or physical) to the AUD community.
- If access to the AUD community is denied, the Director of Central Services will inform the individual/organization.
- If access to the AUD community is approved, the Director of Central Services will forward the proposal application and related documentation to the IE Director who will review the survey, and determine if it complies with the institutional requirements for ethical research practices. .
- The IE Director will consult with the Provost and Chief Academic Officer, and President for final approval.
- After all approvals have been secured, the Director of Central Services will contact the individual or organization with the final decision.

**RESPONSIBILITY OF SURVEY ADMINISTRATORS**

All university survey results (raw data or summary) must be submitted to the Institutional Effectiveness Office. The name and contact information for the principal investigator should accompany the results. When submitting survey results, survey administrators are responsible for ensuring the anonymity of respondents in any report(s).

Additionally, by accepting the authorization to administer the survey, individuals understand and acknowledge that they will have an obligation to use data compiled responsibly, ensuring that data is not redistributed to parties inside or outside the university community, unless clearly detailed when submitting and survey approval.

**ADDITIONAL INFORMATION**

To find out more information on how results of internal surveys are used to inform and shape university policy, please contact the Institutional Effectiveness Office at [ied@aud.edu](mailto:ied@aud.edu).

**Interpretation:** Director of Institutional Effectiveness

**Ownership:** President

**Publication:** Faculty Handbook; AUD Website

SUMMARY OF CHANGES		
Date	Section	Change
8 February 2010	Procedure for obtaining permission to administer surveys, Part C	Approval process added.
January 24, 2019	Entire policy	Rewritten for better alignment with best practice

<b>DRESS CODE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AD-I-03**

### **PURPOSE**

The purpose of this policy is to define what constitutes the acceptable dress code at AUD.

### **POLICY**

The American University in Dubai, in accordance with the laws of the U.A.E., adheres to specific guidelines regarding appropriate attire. As a result, students are expected to respect themselves and others by dressing properly while on campus. Inappropriate attire will not be tolerated and violations are subject to disciplinary action.

Inappropriate attire is defined as, but not limited to:

- Tight or revealing clothing;
- Short shorts and micro-skirts;
- Cleavage-baring tops or dresses;
- Sagging jeans or jeans with suggestive holes or markings;
- T-shirts with inappropriate logos or language; and
- Midriff-baring, open-back or halter tops.

Dress code violations should be reported to the Dean of Student Affairs. Students who do not abide by the AUD dress code are subject to disciplinary action. The university may require an offending student or other individual to change his or her dress or appearance if the offending person's attire violates this dress code.

**Interpretation:** Dean of Student Affairs

**Ownership:** President

**Publication:** UG Student Handbook

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>

<b>CAMPUS POSTING POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 6, 2019

## **POLICY AD-I-04**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for posting fliers and other kind of advertisement at AUD facilities.

### **POLICY**

All items posted on Student Affairs bulletin boards must be approved, stamped, and dated by the Office of Student Affairs. Postings in violation of any of the rules and regulations regarding postings will be removed. The events, jobs, etc. must in some way benefit the university or AUD students. Events must be alcohol free. All postings should have the name of the sponsoring department or student club/organization clearly visible. Items should remain posted for no more than one month.

Assigned bulletin boards are the responsibility of the department who has requested the bulletin board and are labeled as such. Permission for posting on these bulletin boards must be approved through the Dean, Associate Dean, Chair, or Administrative Supervisor.

### **Posting Recommendations**

- Advertise events two-to-three weeks in advance.
- Do not advertise until the event has been officially approved through the Office of Student Affairs
- Remove posters the day following the event.
- No more than one posting for a single event should be placed on a bulletin board.
- Do not post on top of other materials.



**Where Items Can Be Posted**

**Bulletin Boards:** Please use only masking tape, thumbtacks, staples, and “Scotch” tape to post items. No other materials can be used on any posting.

**Where Items Cannot Be Posted**

- Sidewalks
- Walls
- Wooden doors
- Painted surfaces
- Benches
- Windows
- Building Entrances
- Glass Windows of the Cafeteria
- Trees

***Other Types of Advertising:***

- Electronic Notice Board
- Stand up banners
- Press releases
- Information tables (located in several locations on campus)

**Interpretation:** Dean of Student Affairs

**Ownership:** President

**Publication:** UG Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change

<b>CAMPUS SECURITY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 15, 2019

## **POLICY AD-I-05**

### **PURPOSE**

AUD is concerned about the safety and welfare of its students and employees. The purpose of this policy is to provide the guidelines for the protection of students, staff and faculty.

### **POLICY**

This policy is in compliance with the Student Right-to-Know and Campus Security Act. AUD maintains a log of all crimes committed and reported on its campus. Information is updated every semester annually. Updated information is made available, upon request, to all continuing students, faculty and staff each year.

### **Crime and Safety Precautions**

AUD is committed to providing a safe and secure environment conducive to learning. Crimes at AUD are minimal and personal safety is a major priority of the university. There are security guards posted for 24 hours throughout the campus. AUD has an internal security manager who supervises all security operations at the university. All AUD students, guests, visitors, family members, and maintenance workers are required to present a valid ID to enter the university. Upon deposit of the ID, visitors are issued a visitor badge, which they display when they are on campus. IDs are returned when visitors leave the university and turn in the visitor badge.

Procedures for fire and medical emergencies are in place. AUD maintains a close relationship with the Dubai Police in the event of a severe emergency or problem. For emergency situations, all are asked to call the University Hotline: 04-3183500/3183555. A security guard will get in touch with the appropriate authority or university staff member for action.

AUD encourages its students to be prepared and take reasonable precautions against all potential crimes and hazards. Specifically students should:

- Not leave personal belongings unattended for any length of time. This includes purses, mobile phones, notebooks, textbooks, laptop computers, book bags, money, jewelry, art supplies, clothing, and all other personal belongings. Leaving belongings unattended is an open invitation for a dishonest individual to steal. AUD will not assume responsibility for lost and stolen items
- Lock their dorm rooms any time they leave
- Know where all fire exits are located and how to get out if exits are blocked
- Know where all fire alarm pull stations, fire extinguishers and the nearest fire hose reel
- Know how to report a fire or other emergency
- Not panic in emergency situations, remain calm, and follow proper procedures

The Dean of Student Services will inform special needs students personally of procedures which apply specifically to them.

### **CAMPUS CRIME REPORTING PROCEDURES**

AUD strives to maintain a safe and secure campus environment. Crimes at AUD are minimal, but in the event of a serious incident, the following procedures should be followed:

- Report all crimes to the Dean of Student Services (Ext. 130). The victim of the crime should fill out a Campus Incident Report Form, and the Dean will prepare a written report on the crime and report it to the proper authorities within the university. Every attempt will be made to handle the incident and determine the proper action within the university environment. However, depending on the nature, scope and severity of the crime, the incident may be referred to the Dubai Police
- If the Dean of Student Services is unavailable, the incident should be reported to the Director of Central Services (Ext. 122). If the Director of Central Services is unavailable, the incident should be reported to the Security Manager (Ext. 502)
- If the incident occurs after working hours, it should be reported to the Security Manager (Ext. 502) who will in turn inform one of the individuals above of the location of the incident and the pertinent details
- Campus Incident Reports with accompanying details will be kept on file in the Dean of Student Services office for one calendar year
- The AUD senior administrators (President and Executive Vice President) will be notified immediately of all serious crimes by the Dean of Student Services or delegate
- In the event that the known perpetrator of the reported crime was another AUD student, the Conduct Code as outlined in this Student Handbook will be applied. If at all possible, any and all evidence related to the crime will be preserved

### **CAMPUS EVACUATION PROCEDURES**

#### **Administration**

When the fire alarms sound, building occupants must evacuate immediately through either the ground floor main entrance near the main reception or through the two side exits opposite the School of Architecture, Art and Design, and the School of Business Administration Academic buildings. Individuals on the second floor can either use the main stairs and exit through the ground floor main entrance or use the bridges to the School of Architecture, Art and Design, and the School of Business Administration Academic buildings go down the closest staircase and exit through the nearest building exit. All should assemble at the meeting point on the soccer field.

**School of Architecture, Art and Design**

Individuals should use the main and side exits of the building; those on the second floor should use the staircases and exit through the closest exit, either the main or side doors, and assemble at the meeting point on the soccer field.

**School of Architecture, Art and Design Annex**

Individuals should use the main exit of the building or through the VC and the ID labs; they both have emergency exits, and assemble at any of the meeting points in the soccer field or the main students' car park.

**School of Architecture, Art and Design Glass House**

Individuals should use any of the two main entrances or through any of the four fire exit doors distributed over the one level building and assemble at any of the meeting points in the soccer field or the main students' car park.

**School of Business Administration**

Individuals should use the main and side exits of the building; those on the second floor should use the staircases and exit through the closest exit, either the main or side doors, and assemble at the meeting point on the soccer field.

**Executive Master Of Business Administration (EMBA)**

Individuals on the ground floor should use the main or the back entrances and any of the two side exits of the building; those on the first floor should use the staircases located on both wings of the building and exit through the closest exit, either the main, back or side doors, and assemble at the meeting point on the soccer field.

**The Center**

Occupants should use the main and side exits of the building on the first floor. Those on the second floor should use any of the fire exits stair cases located in the Food Court or next to the Gymnasium; also they can use the main stair case of the building leading to the main entrance. Those on the third and the fourth floors should use any of the two fire exit stair cases located in the classrooms/labs wing and the other in the offices wing to the ground floor, and from there through any emergency exits or the main entrances and assemble at the meeting point on the soccer field.

**School of Engineering**

Occupants should use the main and side exits of the building on the first floor. Those on the second floor should use the main staircases on the right and left sides of the building. Those on floors 3-4 should use the staircase exits to the ground floor. All should assemble at the meeting point on the soccer field.

**Student Housing**

Residents from all floors should use the closest stairs and exit through any of the building exits or main doors and assemble at the meeting point on the soccer field.

**Faculty Housing**

Residents should use the closest stairs to exit the building and assemble at the meeting point on the soccer field.

**Important Note:** The elevator must not be used in case of emergency evacuation.

**Important Safety Issues**

Fire Extinguishers are not for propping doors open; they should be left where they are.

For more detailed exit procedures, please read evacuation notices in each building where exact exit routes are posted.

**Interpretation** Director of Central Services

**Ownership:** Executive Vice-President

**Publication:** Student Handbook; Faculty Handbook; Posted in all Building

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Campus Crime Reporting Procedure	Extension number for Dean of Students changed
June 2009	Campus Evacuation Procedures	Student Center added
May 2013	Campus Evacuation Procedures	New Studio Buildings/Glass Box Building added

<b>DATA REQUEST POLICY</b>	
<b>Effective Date</b>	June 2009
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-I-06**

### **PURPOSE**

This policy is aimed at ensuring an organized and efficient process for institutional data requests.

### **POLICY**

Institutional data is a vital university asset since it includes information regarding the university's students, faculty, staff and resources. The Institutional Effectiveness (IE) Office is responsible for the dissemination of all data to AUD's accrediting bodies, national/international publications, and all other external and internal constituents.

All university members are requested to use the official data published in the AUD Fact Book whenever institutional data is required. If desired data is not available in the AUD Fact Book, a request may be filed with the IE Office. If the IE Office does not have the data requested available, IE will coordinate the data gathering accordingly. All data requests are channeled through the IE Office to ensure consistency and accuracy.

### **PROCEDURES**

Academic and administrative unit heads may request their own data. For requests other than their own, a valid reason for the data request must be provided.

Requests are prioritized by the IE Office. Please allow at least two weeks to process a data request. If the acquired data is published in a report or through any medium, a copy of such report should be made available to the IE Office.

When requesting data, please complete the online form or email the IE Office the following information:

- Name and contact information of person requesting data;
- Detailed description of data required;
- Purpose and objectives in obtaining data;
- Benefit of use of data for AUD;
- Future use of collected information; and
- Agreement to provide a copy of the final report.

The Institutional Effectiveness Office Director or his or her designee will review the request and facilitate delivery of requested data.

**Responsibility of Data Collectors**

All published reports that incorporate university data must be made available to the Institutional Effectiveness Office. Additionally, by accepting the responsibility to receive the data, individuals understand and acknowledge that they will have a responsibility to use data compiled responsibly, ensuring that data is not redistributed to third parties inside or outside the university community, unless clearly detailed when making the data request.

**Additional Information**

To find out more information on how institutional data is used to inform and shape university policy, please contact the Institutional Effectiveness Office at [ied@aud.edu](mailto:ied@aud.edu).

**Interpretation:** Director of Institutional Effectiveness  
**Ownership:** President  
**Publication:** Faculty Handbook: AUD Website

SUMMARY OF CHANGES		
Date	Section	Change
January 24, 2019	Entire Policy	Terminology, Syntax and alignment to best practice

INTELLECTUAL PROPERTY POLICY	
Effective Date	Fall 2008
Date of Last Update	January 24, 2019

## POLICY AD-I-07

### PURPOSE

AUD seeks to endorse an environment that encourages the generation of new knowledge by its university personnel. Thus, the following document is intended to be a guideline of patent and copyright matters that are of interest to university personnel. University personnel will henceforth be used to denote faculty, staff, students and person in a “visiting appointment” position. The policy is to provide a mechanism for protecting certain property rights of the university and its personnel and the basis for such rights.

### DEFINITIONS

**Copyrights:** Protection by law that covers books, periodicals, lectures, dramatic or dramatic-musical compositions, maps, works of art, drawings or plastic works of a scientific or technical nature, photographs, pictorial illustrations, labels, motion pictures and video tapes, and audio recordings. The copyrightable material need not be novel; it must only be the original product of the creator.

**Invention:** This term covers such items as computer software, general instructional materials (i.e. video tapes, etc.) devices, production procedures and methods, etc...

**Patent:** Grant by the US-Patent Office or any equivalent foreign office to an inventor of the right to exclude others for a limited time from making, using, or selling his or her invention in a specified geography. To be patentable, an invention must be novel, useful, and non-obvious.

### POLICY

AUD’s policy affirms a commitment to the personal ownership of intellectual property rights in the works of the intellect by the individual creator, whether or not the creator worked alone or with another and if they worked privately or as part of the greater AUD community.

Intellectual property developed by a faculty or staff member or student will be the exclusive property of the inventor(s) or author(s) if all of the following conditions exist:

- The university has contributed nothing substantial or essential to the production and development of such intellectual property in funds, space, facilities, or time of a faculty or staff member or student;
- The intellectual property is not related or similar to any university research then in progress known to the faculty member, or to which the university is committed, and with which, in either case, such faculty or staff member or student is connected; and
- The intellectual property was developed by the inventor(s) or author(s) on their own time without any expense to the university.



It is acknowledged that there are times intellectual property is within the scope of “part” ownership of the university. “Part ownership” designates that AUD has the right to claim ownership along with the inventor/author if the following conditions exist:

- If the university has contributed with funds, facilities, materials and production of the intellectual property;
- If there is similar research already taking place within the university and the intellectual property in an extension of the existing research being developed by the university;
- If the university creates or commissions works on its own behalf, thus entering into a written agreement with authors on mutually agreeable terms;
- If the university grants paid release time for a project to be completed.

If such conditions arise, an agreement will be signed between the President and Provost and Chief Academic Officer of the university and the concerned party(ies) as to the joint ownership as well as any percentage of allocation for remuneration.

Moreover, exempt from this policy and recognized as sole ownership of the author, inventor, etc. are course materials arising from preparing for courses, teaching, course notes, exams and other relevant materials. However, the university has rightful ownership over all syllabi and descriptions of courses used within its programs.

### **Copyright Protection**

Faculty members are expected to follow copyright law. As an accredited American curriculum university, AUD favors a US fair use doctrine within the framework of international copyright conventions, of which the UAE and the US are signatory nations; and insofar as these practices are in agreement with local copyright statutes.

The easiest way to understand copyright is to envision that an author or creator, (i.e. the owner of the work), of an original work possesses the exclusive right to decide how the work is presented and to profit from the work’s presentation and use. A creator of a work in a “tangible” medium possesses the exclusive rights to profit from and use the materials of her/his creation. Copyright protection begins at the point that an “original work of authorship” is created in a fixed form. A fixed form means any tangible medium (the thought, idea, presentation, etc. must be fixed in some material form that communicates the materials to a third person). Thus, works on the Internet possess copyright protection since the Internet is a tangible medium and communicated to others.

Please refer to AUD Library’s fair use recommendations

(<http://libguides.aud.edu/fairuseguide>) for support on the use and reproduction of copyright protected material in the classroom. These recommendations do not replace legal advice and faculty are responsible for abiding by copyright laws and exercising good judgement in fulfilling their educational, teaching and research needs.

## Public Domain

Works that are considered in the “*Public Domain*” do not receive copyright protection. Ideas and writings that are in the “public domain” are not copyrighted works. Typically, “public domain” means government works, such as judicial opinions, public ordinances or administrative rulings. Works created by government employees as a part of their regular job description are also considered works in the public domain. Copyright protections do not attach to works in the public domain.

**Interpretation:** President

**Ownership:** President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
19 May 2013	All	Updated to represent information provided in the Faculty Handbook
January 24, 2019	Entire Policy	Syntax

<b>MONITORING AND REPORTING OF SUBSTANTIVE CHANGE</b>	
<b>Effective Date</b>	June 2011
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AD-I-09**

### **PURPOSE**

As part of the requirements for regional accreditation, the American University in Dubai (AUD) is obligated to follow the substantive change procedures of the Commission for Academic Accreditation (CAA) and the Commission on Colleges of the Southern Association of Colleges and Schools (SACSCOC) and to inform the CAA and the SACSCOC of any changes in its programs and activities in accordance with those procedures. This policy establishes guidelines to ensure that AUD remains in compliance with these requirements.

### **POLICY**

AUD is required to comply with the CAA Substantive Change requirements (see attachment 1), and the SACSCOC Substantive Change Policy (see attachment 2) as a condition of its continued accreditation by the CAA, and the SACSCOC. Substantive change is defined by the CAA as changes that “may have an immediate effect on the scope, quality, integrity, or effectiveness of the institution or its programs.” Additionally, SACSCOC defines substantive change as “a significant modification or expansion of the nature and scope of an accredited institution.” See Attachment 1 and 2 for the full explanation of what constitutes substantive change as per the CAA and SACSCOC respectively.

### **RESPONSIBILITIES**

Responsibilities of academic and administrative unit heads:

Unit heads have the fundamental responsibility to be generally aware of the substantive change policy, inform the University’s liaison at the earliest point possible of proposals that may be considered a substantive change for the University, and provide the liaison with any data, information, or prospectus necessary to comply with policy when requested.

#### Steps for handling Substantive Changes by the liaison:

1. The liaison will work with the unit head and the CAA to determine whether a proposed change is substantive.
2. The liaison will determine what action with respect to the CAA is required when the change is substantive.
3. The liaison will arrange for the appropriate report to be compiled and submitted to the CAA with assistance and input from the respective unit head.

4. The liaison will communicate with the CAA and arrange a site visit if required by the CAA.
5. Once the CAA is satisfied that the appropriate action has met the CAA substantive change requirements (as per attachment 1), the liaison will inform SACSCOC of the substantive change as per their requirements (see attachment 2). SACSCOC may require notice as much as 12 months in advance of implementing the change.

#### Late Notification

If it is discovered that a program which may be considered a substantive change has been implemented without notification of the liaison, the appropriate Provost, Vice President, Dean, or Director has responsibility to notify the liaison immediately. It is then the responsibility of the liaison to notify the CAA and then SACSCOC.

To ensure that proposals which may be considered substantive changes do not go unreported, it is recommended that the Provost, Vice President, Deans, and Chairs review annual reports taking into consideration the substantive change policy.

#### POINT OF CONTACT

The Director of Institutional Effectiveness serves as the CAA and SACSCOC Liaison.

#### ATTACHMENTS

Attachment 1 – CAA Stipulation on Substantive Change

Attachment 2 – SACSCOC Policy on Substantive Change for Accredited Institutions of the Commission on Colleges

**Interpretation:** Director of Institutional Effectiveness  
**Ownership:** President  
**Publication:** Institutional Effectiveness Manual

SUMMARY OF CHANGES		
Date	Section	Change
September 2012	Entire policy updates	Policy was updated to include Substantive Change requirements of the CAA as per the new 2011 Standards
May 2013	Entire policy updates	Policy was updated to include Substantive Change requirements of the CAA as per the SACSCOC Board of Trustees meeting, December 2012
<b>January 24, 2019</b>	Entire Policy	Updated to align with revised SACSCOC policies.

## **Attachment 1 –**

### **CAA Stipulation 2: Substantive Change**

Licensure and accreditation, as undertaken by the Commission for Academic Accreditation, assure that an institution has established the policies, procedures, personnel, programs, and other conditions to fulfill its mission. Because institutions change constantly, periodic reviews are undertaken to confirm that an institution continues to adhere to the Standards and to fulfill its mission. It is often the case that the Commission will undertake ad hoc visits in the period between formal licensure visits to monitor the ongoing progress of the institution.

Some changes, however, may have an immediate effect on the scope, quality, integrity, or effectiveness of the institution or its programs. These are termed —substantive changes” in the language of the CAA. Any such substantive changes initiated after the most recent review for licensure or program accreditation must be reported to the Commission and reviewed for approval before they are made.

### **Nature of Substantive Change**

Institutions must inform the Commission of proposed changes including, but not limited to, ones that:

1. change the legal status or form of control of the institution, including a change in ownership or merger with another institution;
2. significantly alter the mission, goals or objectives of an institution (this would include the introduction of qualifications at a higher level);
3. establish instruction in a significantly different format (such as an intensive term or weekend classes) or method of delivery (such as e-learning);
4. relocate the primary campus, or establish instruction at a branch or an additional location;
5. close one of the institution’s locations;
6. make significant changes in the organizational structure, such as separating one unit or institution into two or joining two separate units (such as two departments or colleges);
7. enter into a contractual relationship with another organization to provide instructional services;
8. change the language of instruction for any program;
9. change program admissions requirements from those approved by the Commission during the accreditation process;

10. make major reductions in program offerings;
11. increase or decrease the length and completion requirements of a program;
12. introduce non-credit courses or activities that affect the mission or alter faculty workload.

There are other actions, mostly but not wholly related to changes in individual courses that do not require notification to the Commission as substantive changes. The Commission anticipates that an institution's reviews of program effectiveness may result in changes to courses, or an academic program, that do not significantly modify the program's goals or learning outcomes, or its basic structure. Some of these changes include:

1. changes to textbooks or other learning resources;
2. changes to prerequisites;
3. changes to course codes or titles, as long as the content of the course is accurately reflected;
4. addition of new elective courses;
5. changes to assessment procedures.

## **Process**

Institutions should informally discuss prospective or proposed changes with the staff of the Commission early in the planning stage. The Commission will determine the type and extent of review the change warrants, whether it is to be an on-site review by a Commissioner or an external review. Some changes are sufficiently limited in nature and scope that they may be approved with minimal review; others require an extensive review including the possibility of a site visit or the use of external reviewers.

Once the decision to make a change is made, the institution should formally notify the Commission. Such formal notification should be at least three months prior to the date on which the institution wishes to make the change. The formal notice takes the form of a —Substantive Change Reportll which must meet the following requirements:

1. Be no more than 25 pages;
2. Provide all necessary information and analysis including:
  - a. an executive summary of no more than one page;
  - b. a justification or rationale for the change with a detailed description and analysis of it, evidence of the need for it, and authorization by the governing body or other relevant parties;
  - c. a projection of any developments anticipated as a result of the change.

The following information should also be included:

1. relationship of the change to the institutional mission;
2. descriptions of changes with regard to specific programs or institutional design;
3. faculty and staff needed to implement changes including anticipated qualifications;
4. library and other learning resources or instructional facilities required to implement the change;
5. physical plant expansion and equipment required;
6. projection of other needs over the period of implementation of the change, including estimates of the additional costs and sources of revenue to cover those costs;
7. evidence that the institution has adhered to the Standards for e-Learning if the proposed change involves offering e-learning programs or courses.

### **Evaluation by the Commission**

When the CAA receives the report, the Commission staff will review the change and will determine the scope and type of any further evaluation required. The Commission may decide to require an on-site visit or a distance review involving external experts. The Commission may decide to: 1. approve the change without conditions; 2. approve the change with specified conditions; 3. defer consideration; 4. deny the proposed change.

### **Notification and Status**

Only after the Commission has notified the institution that a change is acceptable may it assume that it has not affected and will not affect its institutional licensure or program accreditation. If an institution proceeds with a change without Commission approval, it risks jeopardizing its status as a licensed institution.

### **Financial Requirements of Substantive Change**

Unless the substantive change results in a site visit by the Commission or in the use of external experts, either on-site or as distance reviewers, there are no fees or other financial requirements associated with consideration of the change. However, should a site visit be required or should there be a need for the use of external experts, the institution will be expected to bear the costs in the same manner as for licensure and accreditation visits.

## Attachment 2 – SACSCOC Policy on Substantive Change

The different types of substantive change, the specific procedure to be used for each, their respective approval/notification requirements, and their reporting time lines are included in the table that follows. Please read the full text under the appropriate procedure for details regarding reporting.

### ***Reporting the Various Types of Substantive Change***

The different types of substantive change, the specific procedure to be used for each, their respective approval/notification requirements, and their reporting time lines are included in the table that follows. Please read the full text under the appropriate procedure for details regarding reporting.

[illegible]



Initiating distance learning by offering 50% or more of the first program for the first time	Procedure 1	No	Yes	us (See Appendix B of this document)
Relocating a main or branch campus				<b>Due dates:</b> January 1 for 7/1-12/31
Entering into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides 25% or more of an educational program offered by the SACSCOC accredited institution				implementation July 1 for 1/1-6/30 implementation

Types of Change	Procedure or Policy	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC
Initiating dual or joint degrees involving program expansion (significant departure) or initiating a new site where student can obtain 50% or more credits toward a program	See SACSCOC policy "Agreements Involving Joint and Dual Academic Awards"	No	Yes	Cover Sheet Prospect us (See Appendix B of this document)  <b>Due dates:</b> January 1 for 7/1-12/31 implementation July 1 for 1/1-6/30 implementation
Initiating dual or joint degree with at least one institution <u>not</u> accredited by SACSCOC	See SACSCOC Policy "Agreements Involving Joint and Dual Academic Awards"	At least 6 months prior to implementation	Yes	Acceptance of notification, copy of signed agreement, contact information for each institution, and additional details on non-SACSCOC institution(s). See Policy.
Initiating a direct assessment competency-based program	See SACSCOC Policy "Direct Assessment Competency-Based Educational Programs"	Yes – Screening Form	Yes	Submit "Screening Form" with letter of notification. If Prospectus is required, <b>Due dates:</b> March 15 (for June review) September 1 (for December review)

Initiating a merger/consolidation with another institution	See SACSCOC Policy: <u>"Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status"</u>	Yes: December 15 (for June review); June 1 (for December review)	Yes	<p>Cover Sheet Institutional Summary Form Prospectus (See Appendix in SACSCOC Policy: <u>"Mergers, Consolidations, Change of Ownership, Acquisitions, and Change of Governance, Control, Form, or Legal Status"</u>)</p> <p><b>Due dates:</b> March 15 (for June review); September 1 (for December review)</p>
Changing governance, ownership, control, or legal status of an institution				
Acquiring any program or site from another institution				
Adding a permanent location at a site where the institution is conducting a teach-out for students from another institution that is closing				

Types of Change	Procedure or Policy	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC
Initiating a certificate program at a new off- campus site at employer's request and on short notice (previously approved program)	Procedure 1	No	Yes	Cover Sheet Modified prospectus Contact Commission Staff.
Initiating a certificate program that is a significant departure from previously approved programs at employer's request and on short notice				
Adding a site under a U.S. military contract for a previously approved program				
Altering significantly the length of a program				
Altering significantly the educational mission of the institution				
Changing from clock hours to credit hours	Procedure 1	No	Yes	Justify reasons for change, indicate calculation of equivalency, and other pertinent
Moving an off-campus instructional site (serving the same geographic area)	Procedure 2	Yes	No	Letter of notification with old address, new address, and
Initiating dual or joint degrees with other SACSCOC accredited institution(s)	<a href="#">See SACSCOC Policy "Agreements Involving Joint and Dual Academic Awards"</a>	At least 6 months prior to implementation	No	Acceptance of notification, copy of signed agreement and contact information for each institution. See Policy.
Initiating programs or courses offered through contractual agreement or consortium	Procedure 2	Yes	No	Letter of notification and copy of signed agreement
Entering into a contract with an entity not certified to participate in USDOE Title IV programs if the entity provides less than 25% of an educational program offered by the SACSCOC accredited institution				

<b>Types of Change</b>	<b>Procedure or Policy</b>	<b>Prior Notification Required</b>	<b>Prior Approval Required</b>	<b>Documentation and Time Frame for Contacting SACSCOC</b>
Initiating off-campus sites where student can obtain 25- 49% of credits toward a program (including but not limited to Early College High School, dual enrollment programs offered at a high school, and certificate programs that are not at employer's request and not on short notice)	Procedure 2	Yes	No	Letter of notification Including street address and implementation date
Initiating distance learning by offering 25-49 of the first program for the first time				
Closing a program, approved off-campus site, branch campus, or institution where the institution plans to teach out its own students	Procedure 3	Yes	Yes	Description of teach-out plan included with letter of notification
Closing a program, approved off-campus site, branch campus, or institution where the institution plans contracts with another institution(s) to teach-out students (Teach- out Agreement)	Procedure 3	Yes	Yes	Description of teach-out plan, copy of signed teach-out agreement(s) detailing terms included with notification

Types of Change	Procedure or Policy	Prior Notification Required	Prior Approval Required	Documentation and Time Frame for Contacting SACSCOC
Initiating a certificate program at employer's request and on short notice using existing approved courses and location	NA	No	No	NA
Initiating certificate program (not at employer's request and not on short notice) using existing approved courses and location				
Initiating off-campus sites (including Early College High School and dual enrollment programs offered at the high school) where student can obtain 24% or less of credits toward a program				
Expanding program offerings at previously approved off- campus sites by adding approved programs that ARE NOT significantly different from current programs at the site				
Expanding program offerings at previously approved off- campus sites by adding approved programs that ARE significantly different from current programs at the site but NOT at the institution				
Initiating distance learning by offering 24% or less of any program for the first time				

For the full Substantive Change Policy for accredited institutions of the Commission on Colleges, please see the following document:

URL: <http://www.sacscoc.org/pdf/081705/SubstantiveChange.pdf>

<b>CONTRACTUAL AGREEMENT REVIEW POLICY</b>	
<b>Effective Date</b>	Spring 2012
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AD-I-10**

### **PURPOSE**

AUD conducts a regular review of all contractual relationships. The purpose of the periodic review of contractual relationships will be to ensure that AUD maintains appropriate control over all aspects of the programs and services provided through such arrangements or contracts.

AUD ensures quality external contractual agreements for all educational programs, evaluates compliance with the agreements, and evaluates the agreements stated purpose and fulfillment thereof periodically.

### **POLICY**

Responsibility for such contractual agreements is maintained at the institutional level in the Communications Office. However, the review process will require feedback from AUD's various academic and administrative units as is deemed appropriate according to the nature of the agreement.

The review process will document the following:

1. The contractual agreement
  - a. is executed by duly designated officers at both institutions;
  - b. clearly establishes the educational nature of the agreement;
  - c. defines administrative and academic responsibilities;
  - d. delineates the period of the agreement;
  - e. sets conditions under which renewal or renegotiation of the agreement may take place;
  - f. is on file in the Communications Office;
  - g. clearly defines the courses, programs, and services in the contract; and
  - h. is clearly based on the following factors that are re-evaluated in the review process:
    - i. Listing of host institution in its Ministry of Education from the host country;
    - ii. Accreditation of host institution (to include regional, international and professional accreditations);
    - iii. Mission of host institution;
    - iv. Host institution's faculty listing; and
    - v. Host institution's curriculum listing.
2. Programs and courses offered through the contractual relationship are reviewed to ensure continued consistency with the educational purpose and mission of AUD.
3. All credit accepted and awarded by AUD, in conjunction with a contractual partner, is based on defined and published policy for evaluating, awarding, and accepting credit for transfer. (See transfer credit policy AC-U-03 and AC-G-03). During the review, AUD seeks to ensure that all college level academic credits earned in the partner program continue to be applicable for acceptance into AUD degree programs.

4. The review should ensure that as stated in the original agreements, all advertising and promotional materials used by the contractual partner institutions are appropriately representing their relationship with AUD.

AUD will send the appropriate notifications or requests for approval of any agreement (i.e., joint degree program) that requires such action, including addition or deletion of programs, changes of address, and/or elimination of an agreement. Notifications to the Ministry of Education- Higher Education Affairs, Commission on Academic Accreditation (CAA) will follow the process outlined in the Standards. Notifications to the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) will follow the protocol (if applicable) as described in the “*Agreements Involving Joint and Dual Academic Awards: Policies and Procedures*.” (URL: <http://www.sacscoc.org/pdf/JointDualAwards.pdf>) Notifications to all other accrediting bodies, if called for, will be made in accordance with each body's relevant protocol.

When a contractual relationship is terminated, AUD will take action to remove all reference to AUD by the former partner institution.

The Communications Office holds all official copies of active contractual agreements. All contractual relationships are to be reviewed at the time of their scheduled renewal by the Institutional Effectiveness Steering Committee, and representative of the Student Services and the Director of Central Services— the latter two serving as ad hoc members for the purpose of this review. For each contractual agreement, the committee will recommend continuance without conditions, continuance with conditions for improvement, or termination. All recommendations will be submitted to the Communications Office to facilitate approval by the Provost and Chief Academic Officer, Executive Vice President and President.

**Interpretation:** Director of Communications, Director of Central Services and the Director of Institutional Effectiveness

**Ownership:** AUD President

**Publication:** Policies, Procedures and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change
January 24, 2019	Entire Policy	Replaced references to External Relations with Communications Office. Updated SACSCOC References

<b>TEACH-OUT POLICY</b>	
<b>Effective Date</b>	September 2012
<b>Date of Last Update</b>	January 24, 2019

## **POLICY AD-I-11**

### **PURPOSE**

The purpose of this policy is to define how AUD will handle the discontinuation of an academic program or the closing of the institution. This policy provides guidelines on how to implement a decision to discontinue an academic program or close the institution and the management issues that need to be addressed.

### **POLICY**

The university is responsible to arrange for students to complete their academic programs in cases in which programs are discontinued or the institution is closed. An aim of this policy is that students are not unreasonably disadvantaged by the discontinuation of AUD programs or the closing of the institution.

### **PROCEDURE**

#### **Program Discontinuation**

On occasion, AUD may decide that a program should be discontinued. There are many reasons for such a decision. These may include changes in student demand, a change to strategic positioning in a particular market or a major curriculum revision following a program review.

In the event of a decision to discontinue an academic program, AUD will stop accepting new enrollments for this program. All students impacted by the decision must be advised in writing. The correspondence should include the reasons for the decision and details concerning the various options that are available as part of the teach-out plan. A contact person, such as a dean or advisor, will be identified to assist students with their individual questions.

A follow-up meeting with students will be held to answer additional student questions and provide further reassurance about progression.

The teach-out plan will either provide for them to complete their course work at AUD, as originally scheduled, or the institution will assist with arrangements for their completion of the program at another suitable institution. The plan ensures that all students who are enrolled in the program receive all of the course work as originally scheduled according to their degree plans, to include receiving all learning materials and student services in a timely manner.

The plan will be sent for approval to the Commission of Academic Accreditation (CAA) of the Ministry of Education-Higher Education Affairs, Southern Association of Colleges and Schools (SACSCOC), the National Postsecondary Education Cooperative (NPEC), and other concerned accrediting agencies.



## **Institution Closing**

In the unlikely event of a decision to close the institution, AUD will follow the aforementioned steps as defined for the discontinuation of an academic program. AUD will inform the students in writing and a teach-out plan will be provided to them. The teach-out plan will either provide for them to complete their course work at AUD as originally scheduled, or the institution will assist with arrangements for their completion of the program at another suitable institution. The plan ensures that all students who are enrolled at AUD will have the opportunity to complete their programs with as little disruption as possible.

The plan will be sent for approval to the Commission of Academic Accreditation (CAA) of the Ministry of Education-Higher Education Affairs, Southern Association of Colleges and Schools (SACSCOC), the National Postsecondary Education Cooperative (NPEC), and other concerned accrediting agencies.

Additionally, in the case of a decision to close the institution, AUD will enter into a formal arrangement with another university that agrees to serve as a repository for AUD academic records.

**Interpretation:** President

**Ownership:** President

**Publication:** AUD Policies and Procedure Manual

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
January 24, 2019	Entire Policy	Syntax

<b>PUBLICATIONS POLICY</b>	
<b>Effective Date</b>	September 2012
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-I-12**

### **PURPOSE**

Through the Communications Office, the American University in Dubai publishes all its information, policies and procedures in both printed and electronic formats. Accordingly, the Communications office manages, maintains and updates all AUD publications, the AUD website and all AUD social media channels.

The following policy governs all AUD publications, and explains the processes by which all Schools/Departments at AUD should abide.

### **POLICY**

The Communications Office, in consultation with the Office of the President, and, when needed, the Executive Vice President's Office, produces the printed and electronic versions of all AUD publications, including but not limited to: Undergraduate and Graduate Catalogs; Student, Faculty and Parents Handbooks; AUD Programs Leaflets; General Informative Leaflets; Registrar's Leaflet; Student Services Leaflet; Housing Kit; and the AUD Personnel Policies and Procedures Manual.

AUD has a zero-tolerance policy regarding errors and misrepresentations in its publications. The Office of the President is accountable to the university's various constituencies for the accuracy of all AUD literature.

Should any faculty or staff member discover errors or what he/she believes to be inaccurate or false statements in any AUD publication (whether in hard or soft format), he or she are invited to bring this to the immediate attention of the Communications Office. Specific forms are available for this purpose.

It is particularly important that those academic units requesting the inclusion of new or modified curricula or policies in next academic year's literature complete the required processes of approval by the set deadline.

### **PROCEDURE**

1. Any corrections, modifications or additions to the literature referred to above, to the AUD website or any social media channel should be e-mailed to Communications by November.
2. Communications will seek approval from the President's office on the proposed changes, and will make updates accordingly during the summer preceding the beginning of the new academic year. Updates include both editorial and design changes, in all the print and online material.
3. AUD's Publications are printed in August. The website is updated accordingly by the first week of the Fall semester.

**Interpretation:** Communications Office, President's Office

**Ownership:** Communications Office, President's Office

**Publication:** PPPM, Student and Faculty Handbooks, AUD website

SUMMARY OF CHANGES		
Date	Section	Change

<b>INSTITUTIONAL RELATIONS POLICY</b>	
<b>Effective Date</b>	September 2012
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-I-13**

### **PURPOSE**

This policy is designed to provide guideline on institutional relationships to maintain and improve AUD's role in serving the community and building collaborations with external entities.

### **POLICY**

- The Communications Office is responsible for facilitating and managing local, regional and international relations, alumni relations and special projects/events on behalf of AUD. This includes but is not limited to building programs such as student exchange/study abroad programs, internships and scholarships, organizing workshops, conferences and activities on campus and abroad, and building upon AUD's community initiatives.
- The Communications Office is responsible for establishing and managing media relations on behalf of AUD, and is in charge of AUD's brand standards.
- All faculty and staff members are asked to be sensitive to the cultural and historical heritage of the UAE and the Arab Gulf Region when making any communication regarding issues of religion and politics. Employees are advised that making any form of communication deemed to be offensive to the local community could be grounds for immediate termination under article 120 of the U.A.E. Labor Law.
- AUD Employees should refrain from communicating or agreeing to communicate with external entities on behalf of AUD, in any form, whether written or by any other means without prior formal permission from the President's Office.
- Emails sent from AUD accounts, whether sent internally or externally, should reflect adherence to university's policies and procedures.
- Internal and external communication of all AUD news and activities, as well as the management university's website and its social media channel are the primary responsibility of the Communications Office.
- All university offices and departments should review their information on the AUD website periodically to ensure accuracy and to keep the Communications Office informed of any needed changes.

## PROCEDURE

1. Any opportunity to establish or develop any form of relationship with AUD must be directed to the Communications Office for review, approval, and follow up.
2. The dissemination of any news related to the AUD Community to the media (in the form of press releases, interviews or other) is the sole responsibility of the Communications Office.
3. The usage and placement of AUD logo, name, images and/or any other AUD-related content shall not be reproduced, republished, redistributed, sold, licensed, manipulated, transferred, digitally transmitted, or copied in whole, or in part, in any manner, or by way of any media production, to any individual, or entity, without the prior formal permission of the Communications Office.

## DEFINITIONS

AUD Community: includes all current students and their families, faculty and staff members, and the members of the AUD Governing Board.

Communication: any verbal, written or virtual diffusion of information, including but not limited to public statements, Internet usage (emails, websites, blogs, social media, etc.), and audiovisual material (videos, photos, etc.).

Public Statements: any public appearances, speeches, media interviews or any other method of disseminating information to the general public.

External Communication: any communication, verbal, written or virtual with external parties.

Internal Communication: any communication verbal, written or virtual within the AUD Community.

Media Relations: any communication with the local, regional and international media, whether print, radio, TV, or online.

Brand Standards: brand or communication standards that have been established by the Communications Office to eliminate inconsistency within the usage of the AUD brand and ensure best practice.

**Interpretation:** Communications Office

**Ownership:** Executive Vice President Office

**Publication:** Student and Faculty Handbooks, Personnel Policies and Procedures Manual.

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	All	Re-written to ensure best practice and structure changes within the Communications Office

RESEARCH ETHICS POLICY	
Effective Date	January 2017
Date of Last Update	-

## POLICY AD-I-14

### PURPOSE

This policy is aimed at ensuring that all research activities administered at the American University in Dubai, or on its behalf, are designed and conducted with integrity according to recognized ethical standards that value the dignity, welfare, and privacy of human subjects, and protects their rights, privileges and freedom.

### POLICY

It is the policy of AUD that all research undertaken for, or on behalf of AUD involving human subjects must be conducted in accordance with accepted ethical and professional standards. All research conducted by members of the university community and external entities must be reviewed (unless it is specifically exempt from review as provided herein) and evaluated by the Institutional Effectiveness Office (IEO) and the Central Services Office (CS) respectively, and approved by the Provost. In all cases, final review and approval is provided under the direction of the University President.

### Definition of Terms

**Research:** As used in this Policy, the term refers to any systematic investigation and related research activities including development, evaluation, and testing designed to develop or contribute to generalizable knowledge.

**Human Subjects:** The term "human subject" refers to any living individual about whom an investigator (whether professional or student) obtains:

- a) Data through interaction with the individual or intervention with the individual's environment; or
- b) Identifiable private information.

**Investigator:** An investigator is the individual who assumes the responsibility of performing various research-related tasks and activities, communicating with the AUD, and conducting research that involves human subjects. Investigators assume responsibility for the ethical treatment of human subjects in the conduct of their research.

**Principal Investigator:** The principal investigator is the designated individual with the ultimate responsibility for a research project and research-related activities and protocols. The principal investigator must monitor and insure compliance with all procedures as established by the AUD

### Faculty Research

Major research investigations conducted by faculty that involve human subjects at the AUD or on its behalf must be reviewed by the Institutional Effectiveness Office (IEO), and approved by the University's President and the Provost prior to implementation. The faculty researcher is responsible for compliance with this policy, monitoring all research-related activities, and insuring the application of the criteria as detailed in *Section V*.

### **Student Research and Faculty Responsibility**

Research investigations conducted by students, such as thesis research and many independent research projects, do not require special approval prior to implementation. It is the responsibility of supervising faculty to insure student compliance with this policy before the research can commence.

Small research projects conducted primarily for instructional purposes within the context of a formal class, and not designed to contribute to generalizable knowledge, do not require a review by the IEO, as the instructor is accountable to maintaining professional and ethical standards in monitoring all research projects conducted in conjunction with his/her class.

Under these conditions, it is the instructor's responsibility to monitor the ethical propriety of these projects by applying the criteria listed in *Section V*. However, a review by the IEO is required, should the instructor express reservations about the research project, and his/her inability to insure ethical propriety, and monitoring in accordance with *Section V*.

### **External Research**

External researchers seeking access to AUD and its population must submit their research proposals and requests to the Central Services Office (CS) for initial review and evaluation. The CS will forward the request to the Institutional Effectiveness Office (IEO) for further review and evaluation in collaboration with the Offices of the University President and the Provost. The University President has the final jurisdiction on the proposed action resulting from the review.

### **Criteria for Approval of Research Subject to Review**

It is the policy of AUD that the following requirements must be met in order for research proposals to be recommended for approval:

- Risks to subjects are minimized and are reasonable in relation to anticipated benefits of the research.
- Selection of subjects is equitable given the purposes and the setting of the research;
- Appropriate informed consent will be sought from each subject or the subject's legally authorized representative, and such consent will be appropriately documented;
- The research plan makes appropriate provision for monitoring the data collected to insure the safety of subjects;
- Provisions are made to protect the privacy of subjects and to maintain the confidentiality of data;
- Where some or all of the subjects are likely to be vulnerable to coercion or undue influence, appropriate additional safeguards have been included to protect the rights and welfare of these subjects; and
- All investigators named in the protocol, including students, must have completed the AUD training on the use of human subjects in research.



**Time frame for Research Review Process**

The AUD will respond to applicants with a written response within 10 working days of the review. Approved applicants will receive an approval letter via email, while unapproved applicants will receive an email as well with feedback and recommendations.

**Investigator's Right of Appeal of Initial Decision**

It is the policy of AUD that the final decision regarding approval or disapproval of all research proposals subject to the IEO/CS review, after approval by the Provost, rests with the President. Any investigator who disagrees with the decision may directly appeal in writing to the President.

**Procedures for Review of Research**

The Institutional Effectiveness Office (IEO) and the Central Services Office (CS) shall establish procedures for reviewing research proposals not exempt from review, to include procedures for continuing periodic review of research proposals initially approved. It is the Principal Investigator's responsibility to comply with procedures established by the IEO/CS and to keep both Offices informed of any proposed changes in the research that may affect risk to human subjects.

Any significant changes to the research, whereby human subjects are undergoing an analysis/procedure not outlined in the original submission, the principal investigator is responsible for submitting the intended changes to the IEO for approval.

**Record Keeping**

Documentation of submitted research proposals and related activities are maintained by the Institutional Effectiveness Office for at least three years following the completion of research and includes the following:

- Copies of all research proposals reviewed, approved consent documents, etc.;
- Documentation of actions taken through the review process;
- Records of continuing review activities;
- A list of any participating reviewers and their professional vita; and
- A copy of the completed research (published or unpublished)

**Administrative Support**

It shall be the responsibility of the Institutional Effectiveness Office to provide administrative support for the review and approval process and to keep applicants advised of current regulations governing research with human subjects.

**Interpretation:** President

**Ownership:** President

**Publication:** Policies, Procedures and Regulation Manual, Personnel Policies and Procedures Manual, IE Manual, Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
19/02/2017	Policy, IV, VII	Replaced External Relations Office (ERO) with Central Services (CS) as a result of organizational realignment

DOCUMENT SIGNATURE POLICY	
Effective Date	July 2016
Date of Last Update	June 2018

## POLICY AD-I-15

### PURPOSE AND SCOPE

There are numerous occasions that AUD administrators – and sometimes faculty – initiate or are asked to sign documents on behalf of the university. This policy provides a principle and procedure governing the authorization of signatories on behalf of AUD.

### POLICY

All documents (print or electronic) specifying legal and/or financial obligations on AUD's part must be cleared by Ms. Peggy Awad, Associate Dean of Student Services, often with professional legal input, and signed usually by the President or Executive Vice President.

A member of the AUD community who initiates or is asked to sign such a document should first consult with Ms. Awad. She will determine whether legal clearance is necessary and/or whether the signature of the President or Executive Vice President is required.

When initiating or asked to sign such a document, AUD administrators or faculty must be guided by Ms. Awad. The steps to follow, therefore, are (1) consult with Ms. Awad who may obtain (2) legal and financial clearance; following which, (3) the signature of the President or EVP or authorized delegate will be executed.

For centralized record-keeping purposes, a copy of all final signed documents is to be kept with Ms. Awad (print and electronic). Kindly note that Ms. Awad is not responsible for the projects assigned through all agreements nor for taking any of the initiatives spelled out. All such responsibilities are assumed by the party(ies) who bring such documents forward.

**Interpretation:** Institutional Effectiveness

**Ownership:** President

**Publication:** Policies, Procedures and Regulations Manual (PPRM), Personnel Policies & Procedures Manual (PPPM) and Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
11 June 2018	Policy	Removed reference to External Relations and included Peggy Awad

<b>MEDIA APPEARANCE POLICY</b>	
<b>Effective Date</b>	March 2017
<b>Date of Last Update</b>	-

## **POLICY AD-I-16**

### **PURPOSE**

This policy is aimed at ensuring consent is sought from human subjects for their appearance in the university's student and faculty media productions.

### **POLICY**

It is the policy of The American University in Dubai (AUD) that:

- All photos and videos of its students, faculty and staff that appear in media production are secured through informed/written consent of subjects.
- The university will request/written permission from identifiable individuals being featured in still and moving images and sound recordings.
- The informed consent by subjects is sought freely and without coercion or pressure. Use *AUD Photo/Video Release Form*
- Prior consent is required from participants joining an event in situations where a decision has been made already to use the visuals for publication or promotional purposes.
- AUD will not provide images and/or audiovisual recordings obtained through such a release to a third party without permission of the individual who appears in the published media.
- No additional financial obligations after the written consent of subjects.

### **DEFINITION**

For the purposes of this policy, media production include publication and dissemination of images and/or audiovisual recordings included but not limited to leaflet, flyers, catalogues, newspapers, university magazine, web page, radio, or television/video productions.

### **EXCEPTIONS**

AUD will not seek consent in the following situations:

- Whenever the photo/visual includes a large crowd with no dominant figure(s)
- Whenever people are clearly posing for the photo or visual by their own will.

**Interpretation:** Communications Office

**Ownership:** Communications Office

**Publication:** Policies, Procedures and Regulation Manual, Personnel Policies and Procedures Manual, IE Manual, Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change

AUD Photo/Video Release Form

Student/Participant Name (Please print)

\_\_\_\_\_

PLEASE READ THIS RELEASE CAREFULLY, CHECK THE APPROPRIATE BOX

\_\_\_\_\_ I give permission to the American University in Dubai (AUD) without compensation for photographs, video, and/or sound recordings of me to be captured and used in but not limited to printed and electronic media including the internet.

\_\_\_\_\_ I choose not to give permission to the American University in Dubai (AUD) to use my photographs and/videos for any publication purposes.

Full Legal Name \_\_\_\_\_

Email Address \_\_\_\_\_

Mobile Number \_\_\_\_\_

Signature \_\_\_\_\_

Date Signed \_\_\_\_\_

<b>STUDENT RIGHTS AND RESPONSIBILITIES POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	May 2018

## **POLICY AD-I-17**

### **PURPOSE**

The purpose of this policy is to define the rights and responsibilities of all AUD students.

### **POLICY**

This policy is in compliance with the Student Right-to-Know and Campus Security Act. AUD maintains a log of all crimes committed and reported on its campus. Information is updated annually. Updated information for the prior calendar year is made available, upon request, to all continuing students, faculty and staff each year.

#### **Freedom of Assembly**

The university recognizes the rights of all students to seek knowledge, debate ideas, form opinions, and freely express their views while respecting the rights and freedoms of others. The university recognizes the right of freedom of assembly, but student gatherings must not disrupt or interfere with the operation of the Institution. Any recognized student organization, after receiving approval of time and space, may hold group meetings inside a university building. The use of public address and sound equipment systems is prohibited outside the university facilities. Any use of this equipment inside the university facilities must maintain a reasonable sound level. Any recognized student organization may invite persons from outside the university to speak. This is subject to approval by the Student Activities Coordinator(s), the faculty/staff advisor of the specific student organization, and the Marketing Communications department if the event is open to the public.

#### **Freedom of Expression**

Posters, flyers, advertisements and other announcements need to be approved by Student Services prior to posting. Display of unauthorized postings or posters in unapproved locations (see Campus Posting Policy) will be removed immediately. Anyone found to have posted any unauthorized material, especially if it is offensive or disrespectful to any group or individual or in violation of the U.A.E. laws and/or cultural practices, will be subject to disciplinary action.

#### **Students' Role in Institutional Decision Making**

AUD considers its students to be an important part of its operations and values their opinions and suggestions related to the university. Students at AUD are involved and participate in institutional decision making. Students voice concerns and criticisms of AUD at the annual Student Forum which examines at all aspects of the university. Additionally, students have the right to file written concerns/suggestions related to any aspect of the university's operations.

## **Student Forum**

The AUD Student Forum is designed, executed, and managed by the AUD Student Government Association, under the guidance of the Student Activities Coordinator(s). The AUD Student Forum is held during the Spring semester. The Student Forum is a means by which the university collects student feedback about AUD issues. These issues include general academic issues that are not specific to a certain department and general nonacademic issues. General surveys, in addition to departmental ones, are conducted by the SGA Departmental Representatives. If warranted, a separate meeting/forum will be held with the Dean, Associate Dean or Chair. General surveys, which review all issues related to sports, residence halls, student activities, general academic issues, and general nonacademic issues are also distributed. The Director of Institutional Effectiveness provides the SGA members with results of the AUD online Student Survey. These results are combined with the results from the SGA surveys, and both are used to create presentations for department forums and the General Student Forum.

**Student Records Access and Release** the University has established a policy for the release of records containing information on students.

- Each student attending AUD shall have the right to inspect and review the contents of his or her education records, including grades, records of attendance and other information. Parents are not entitled to inspect and review financial records of their students. Parental access to a student's records will be allowed without prior consent if the student is a dependent.
- A student's education records are defined as files, materials, or documents including those in electronic format that contain information directly related to the student and are maintained by the institution. Access to a student's education records is afforded to school officials who have a legitimate educational interest in the records, such as for purposes of recording grades, attendance, and advising, and determining financial aid eligibility.
- Students may request a review of their education records by submitting a written request to the Provost. The review will be allowed during regular school hours under appropriate supervision. Students may also obtain copies of their education records for a nominal charge. . • Students may request that the institution amend any of their education records, if they believe the record contains information that is inaccurate, misleading or in violation of their privacy rights. The request for change must be made in writing and delivered to the Registrar with the reason for the requested change stated fully. Grades and course evaluations can be challenged only on the grounds that they are improperly recorded. The instructor or staff member involved will review the request, if necessary meet with the student, and then determine whether to retain, change, or delete the disputed data. If a student requests a further review, the Provost will conduct a hearing, giving the student a full and fair opportunity to present evidence relevant to the disputed issues. The student will be notified of the Provost's decision. Copies of student challenges and any written explanations regarding the contents of the student's record will be retained as part of the student's permanent record.



- Directory information is information on a student that the university may release to third parties without the consent of the student. AUD has defined directory information as the student's name, home address, telephone number, email address, birth date and place, program undertaken, dates of attendance, and credential awarded. If a student does not want some or all of his or her directory information to be released to third parties without his or her consent, the student must present such a request in writing to the Registrar within the term of the student's initial enrollment.
- The written consent of the student is required before personally identifiable information from education records on that student may be released to a third party, except for those disclosures referenced above, disclosures to accrediting commissions and government agencies, and other disclosures permitted by law. All students are requested to complete the *Release Form* as part of the admission process.
- A student who believes that AUD has violated his or her rights concerning the release of or access to his or her records may file a complaint with the University's Grievance Officer or the UAE Ministry of Education in Dubai: Phone +971-4-2994100, Email [ccc.moe@moe.gov.ae](mailto:ccc.moe@moe.gov.ae) (MOE Call Center)

### **Disclosure**

Students are encouraged to share personal experiences while participating in classes at AUD. However, students must be aware that should they disclose to any AUD faculty member or staff information that may cause harm to themselves or others, faculty members and staff are required to report such information to the Deans, Associate Deans, Chairs, Provost, or President.

### **Intellectual Property**

**Purpose.** AUD seeks to endorse an environment that encourages the generation of new knowledge by its university personnel. Thus, the following document is intended to be a guideline of patent and copyright matters that are of interest to university personnel. University personnel will henceforth be used to denote faculty, staff, students and person in a "visiting appointment" position. The policy is to provide a mechanism for protecting certain property rights of the university and its personnel and the basis for such rights.

## Definitions

**Copyrights.** Protection by law that covers books, periodicals, lectures, dramatic or dramatic musical compositions, maps, works of art, drawings or plastic works of a scientific or technical nature, photographs, pictorial illustrations, labels, motion pictures and video tapes, and audio recordings. The copyrightable material need not be novel; it must only be the original product of the creator.

**Invention.** This term covers such items as computer software, general instructional materials (i.e. video tapes, etc.) devices, production procedures and methods, etc...

**Patent.** Grant by the US-Patent Office or any equivalent foreign office to an inventor of the right to exclude others for a limited time from making, using, or selling his or her invention in a specified geography. To be patentable, an invention must be novel, useful, and nonobvious.

**Policy.** AUD's policy affirms a commitment to the personal ownership of intellectual property rights in the works of the intellect by the individual creator, whether or not the creator worked alone or with another and if they worked privately or as part of the greater AUD community. Intellectual property developed by a faculty or staff member or student will be the exclusive property of the inventor(s) or author(s) if all of the following conditions exist:

- The university has contributed nothing substantial or essential to the production and development of such intellectual property in funds, space, facilities, or time of a faculty or staff member or student;
- The intellectual property is not related or similar to any university research then in progress known to the faculty member, or to which the university is committed, and with which, in either case, such faculty or staff member or student is connected; and
- The intellectual property was developed by the inventor(s) or author(s) on their own time without any expense to the university.

It is acknowledged that there are times intellectual property is within the scope of "part" ownership of the university. "Part ownership" designates that AUD has the right to claim ownership along with the inventor/author if the following conditions exist:

- If the university has contributed with funds, facilities, materials and production of the intellectual property;
- If there is similar research already taking place within the university and the intellectual property is an extension of the existing research being developed by the university;
- If the university creates or commissions works on its own behalf, thus entering into a written agreement with authors on mutually agreeable terms;
- If the university grants paid release time for a project to be completed.

If such conditions arise, an agreement will be signed between the President and Provost (for faculty and students)/Executive Vice President (for staff) of the university and the concerned party(ies) as to the joint ownership as well as any percentage of allocation for remuneration.

Moreover, exempt from this policy and recognized as sole ownership of the author, inventor, etc. are course materials arising from preparing for courses, teaching, course notes, exams and other relevant materials. However, the university has rightful ownership over all syllabi and descriptions of courses used within its programs.

### **Artwork Material Property Waiver Form**

**Purpose.** The American University in Dubai often commissions students, faculty, staff or freelance designers with creating artwork for the university including but not limited to catalogs, handbooks, logos, posters, flyers and brochures. This policy is in place to maintain proper archives of all commissioned artwork material and to confirm AUD's ownership of the said material.

**Policy.** To maintain a proper archive of all commissioned artwork material and to confirm AUD's ownership of the material, the university requires that all commissioned designers sign an Artwork Material Property Waiver Form.

**Protocol.** All designer (AUD students, faculty, staff or freelance designers)-commissioned artwork for AUD is considered the property of AUD. The Artwork Material Property Waiver Form is to be systematically signed for any commissioned work. The Communications Office is to receive a digital copy of the artwork that has been created.

**Interpretation:** Communications Director  
**Ownership:** Executive Vice President  
**Publication:** Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	freedom of assembly	From Director of External Affairs to Marketing Communications Manager
May 2013	Addition of the following sections: 1. Students' Role in Institutional Decision Making 2. Student Forum 3. Student Records Access and Release	Added five sections to the policy.
May 2018	Various sections	Removed reference to US Department of Education, and replaced it with UAE MOE and the University's Grievance Officer, and changed policy designation to AD-I-17 from AC-A-05

<b>PURCHASING POLICY</b>	
<b>Effective Date</b>	October 2008
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-F-01**

### **PURPOSE**

The purpose of this policy is to establish the Finance Office's existing guidelines for processing Purchase Requisition Forms.

### **POLICY**

The Central Services Office has the authority and responsibility for procuring the requirements for all materials, equipment and services within the University System. The Finance Office is responsible for ensuring adequate control procedures are in place to secure the proper disbursements of funds.

### **PROCEDURES**

#### **A. Purchase Requisition**

- 1- Fill an online purchase requisition (PR) form available on <http://ep.aud.edu/> or request the administrative assistant of your office/department to fill the form on your behalf. Complete the name of the vendor, the items required and the cost. Attach a quotation and supporting documents. Submit the form for approval.
- 2- The head of the office/department receives an e-mail notification for a pending purchase requisition, logs to <http://ep.aud.edu/>, checks the details and has the option of approving, rejecting or reversing the PR requesting additional information. Once approved, the PR is submitted to the Chief Financial Officer.
- 3- The Chief Financial Officer compares the request to the office/department's budget and has the option of approving, rejecting or reversing the PR requesting additional information. Once approved, the PR is submitted electronically to higher management for approval.
- 4- For all purchase requisitions made by academic units, the Provost and Chief Academic Officer will approve and submit to the President and/or the Executive Vice-President.
- 5- For purchase requisitions made by administrative units, the form will be submitted directly from the Chief Financial Officer to the President and/or the Executive Vice-President who will also approve electronically.
- 6- Once the purchase requisition is approved at all levels, the Finance Office will receive a notification to convert the purchase requisition to a purchase order (PO) which is printed and forwarded to the director of central services for processing. The finance office keeps one copy in the "pending for invoice" folder in preparation for posting in the financial system and payment. The original requester will receive an e-mail notification that the request was approved and can coordinate with Central Services to check on the status of the request.

- 7- The finance office issues payment to a vendor after matching the approved purchase requisition with a proof of delivery and an original invoice.

Standard payment terms are 30 days from invoice date.

- 8- Offices and departments should promptly forward to the Finance Office any invoice or vendor statements that relate to purchase requisitions.

### **B. Assurance of Competitive Pricing**

The purchases of goods and services should be undertaken in an efficient and cost-effective manner to ensure that the highest quality of goods and services is procured at the lowest possible cost. Due to the specialized nature of some purchases, the responsibility for initiating procurement of certain goods and services often rests in areas other than the Central Services Office. The individual initiating the purchase should present two (2) quotations when possible along with the Purchase Requisition Form. The Director of Central Services or CFO may also seek additional quotations if this is deemed necessary.

### **C. Lead Time**

Departments and Offices should anticipate their needs far enough in advance to allow Central Services time to process requests. Two to Three weeks is the normal time.

**This procedure also applies to requests for travel, hotel reservations, conferences and professional memberships.**

Do not wait until the last minute or after the fact to submit a Purchase Requisition.

All requests submitted for reimbursement after the actual purchase and without a prior approved Purchase Requisition will be rejected.

**Interpretation:** Chief Financial Officer  
**Ownership:** Executive Vice-President  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
February 8, 2010	Procedures Section B	<p><b>From</b> “The individual initiating the purchase should present a minimum two (2) quotations (or three (3) if possible) along with the Purchase Requisition Form”.</p> <p><b>To:</b> “The individual initiating the purchase should present two (2) quotations when possible along with the Purchase Requisition Form”.</p>
February 13, 2019	All	Syntax and terminology

<b>ACCOUNTS PAYABLES POLICY</b>	
<b>Effective Date</b>	November 15, 2017
<b>Date of Last Update</b>	February 13, 2019

**POLICY AD-F-02**

**PURPOSE**

The purpose of this policy is to establish the Finance Office's existing guidelines for processing Accounts Payable.

**POLICY**

The University pays all its legally incurred obligations for goods and services other than Payroll through the accounts payable section of the Finance Office. Typically, invoices are paid within 30 days of receipt.

**PROCEDURES**

- A. Accounts Payable primarily processes payment upon receipt of the following:
  1. An approved Purchase Requisition Form.
  2. An Original Invoice.
  3. A signed and stamped delivery order.
- B. All items on the invoice are verified for validity to the purchase requisition. If differences in amounts exist that exceed the allowable limit of 5 %, the relevant person will be notified to issue another purchase requisition.
- C. When all items invoiced are received and verified to the Purchase Requisition, the invoice is posted into Great Plains Dynamics Financial Software and a check is issued in due time.
- D. Accounts Payable processes payments for contracts upon receipt of the following:
  1. A contract agreement signed by authorized personnel.
  2. An original invoice stamped and signed by Central Services.
- E. Accounts Payable processes payments for Time-Sheets that are not part of the general payroll ex. Reception Time-sheets and students' time-sheets upon receipt of the time sheet signed by the supervisor/head of department, the HR director and an approved hourly rate.



## MISCELLANEOUS

- A. Accounts Payable answers inquiries from vendors regarding the status of unpaid invoices and reconciles monthly account statements.
- B. Payments processed by Accounts Payable are filed with all the necessary backup in alphabetical order in the Accounting Manager's office.

**Interpretation:** Chief Financial Officer  
**Ownership:** Executive Vice-President  
**Publication:** Internal Policy

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	Procedure	Inserted HR

<b>RECEIPT AND HANDLING OF UNIVERSITY FUNDS POLICY</b>	
<b>Effective Date</b>	October 31, 2017
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-F-03**

### **PURPOSE**

The purpose of this policy is to establish the Finance Office's existing guidelines for handling cash receipts, deposits, and accountability of funds, as a formal University policy.

### **POLICY**

Under University regulations, the Finance Office is the only department authorized to receive payments on behalf of the University. The Finance Office is responsible for ensuring adequate control procedures are in place to secure the collection and proper receipt of funds.

### **PROCEDURE**

#### **A. Authorization to Collect Funds**

1. All receipts must be recorded using Campus Management Software.
2. For payments received in the finance office, authorized and approved receipting personnel must issue receipts authorized by the Finance Office. An electronic receipt is also emailed to the beneficiary.
3. For online payments, an electronic receipt is automatically e-mailed to the beneficiary.
4. In no case is money to be withheld from daily receipts to create a Petty Cash Funds.

#### **B. Receipting Procedures**

1. For payments received in the finance office, fill out the General receipt information using Campus Management Payment Window.
  - a. In the case of a student's payment, open the student's ledger card and click on "Post Payment".
  - b. Enter a description of the payment received.
  - c. Enter the date the payment is received. For a post-dated check, enter the date of the check.
  - d. Enter the payment type and fill the required information.
  - e. Save and Print the receipt.

2. For online payments, print the online payment reports and post the receipt information using Campus Management Payment Window.
  - a. For online students payments on the student's portal, the payment is automatically posted on the student's ledger. Post any corresponding charge if needed.
  - b. For non-students payments, use the miscellaneous receipts window in Campus Management to post the payment.
3. Voiding a Receipt.

Only the chief financial officer and the Student Financial Affairs Manager have the authority to void a receipt with the proper documentation.
4. Handling Cash and Checks.
  - a. Safeguarding revenue and receipts prior to deposit is the responsibility of the finance department. All cash and checks must be retained in the safe in the finance office until the deposit is sent to the bank.
  - b. Endorse (stamp- for deposit only) all checks immediately upon receipt.

#### **C. Procedures for Preparing and Depositing Receipts of Cash**

1. All cash are immediately deposited in the "*Transguard*" cash machine in front of the finance office.
2. Print the "Daily Cash Receipts Report" from *Transguard* report and post all receipt transactions to the corresponding students.

#### **D. Procedures for Preparing and Depositing Receipts of Checks**

1. At the end of every day, deposits all checks received in a safe available in the Office of the Students Financial Affairs manager.
2. Print the "Daily Cash Receipts Report" from Campus Management. "Daily – Student Accounts – Bank Deposits" and reconcile to the actual checks on hand. Make any adjustment to the student's ledgers if the date, amount or name of the bank is wrong. Then, reprint the report.
3. Using the bank online cash management facility, scan all checks using the dedicated "iscan" machine provided by the bank and keep them in an envelope to be given to the bank messenger on a daily basis.
4. Keep in the safe all checks that are not sent to the bank at the request of the students.

#### **E. Procedures for Preparing and Depositing Receipts of Credit cards**

1. The finance office is linked directly to the credit cards network. Credit cards payments will be deposited directly in the university's bank account 2 working days after the transaction date.
2. Credit cards are used as a method of payment in the "Post Payment" module and credit cards receipts are kept separately from other receipts.
3. Using the same cash receipts report, the student financial officer will reconcile all credit cards receipts to the report and file them.
4. The students financial affairs manager will reconcile the credit cards deposits on the bank statement with the daily cash receipts detail.

#### **F. Procedures for Preparing and Depositing Receipts of Wire Transfers**

1. Bank statements are received daily, and all payments received through wire transfers and direct deposits (EFT payment type) are posted into the students' ledgers using the "Post Payment" module.
2. The students financial affairs manager will reconcile EFT deposits on the bank statement with the cash receipts detail report.

#### **G. Miscellaneous Receipts**

1. All non-students' payments are considered "Miscellaneous Receipts" and should be recorded in Campus Management using "Daily-Student Accounts-Miscellaneous Receipts".
2. Enter all required information, save and print a receipt.

#### **H. Returned Items**

Checks that are not honored (returned unpaid) will become a University Receivable. Once the returned check shows on the bank statement, the student financial affairs officer will record it as a returned item on the student's ledger and will put the student on financial hold.

#### **I. Month End Procedures**

1. Print the Cash Receipts Detail for the month from Campus Management.
2. Print the Miscellaneous Cash Receipts Detail from Campus Management.
3. Export both reports to Excel and reconcile all items to the monthly bank statement.

4. Prepare the Cash Receipts Journal Entries and post into Great Plain Dynamics Bank reconciliation module to complete the final Bank Reconciliation.
5. The Chief Financial Officer will verify the bank reconciliation edit list and sign the report generated by *Great Plains Dynamics*.

**Interpretation:** Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** Internal Policy

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	All	Syntax and terminology

FINANCIAL OPERATIONS POLICY	
Effective Date	October 2008
Date of Last Update	February 13, 2019

## POLICY AD-F-04

### PURPOSE

The purpose of this policy is to provide information on the university's financial operations to management in a timely manner.

### POLICY

The following are significant accounting policies that are prepared in accordance with International Financial Reporting Standards.

### PROCEDURES

1. **Financial Reporting:** The chief financial officer is responsible for establishing monthly closing schedules and preparing and distributing monthly internal financial statements to the president and the executive vice-president.
2. **Revenue Recognition:** All fees are taken to income on accrual basis. Interest revenue is recognized as the interest accrues.
3. **Property and Equipment:** Property and Equipment are recorded at cost less accumulated depreciation. Depreciation is calculated on a straight line basis over the estimated useful lives of the assets as follows:
 

Motor Vehicles	4 years
Furniture and Fixtures	3 years
Computer Equipment	3 years
Equipment	4 years
Library Books	4 years
Leasehold Improvements	10 years
4. **Accounts Receivable:** Accounts receivable are stated at original amount less a provision for any uncollectible amounts. An estimate of doubtful debts is made when collection of the full amount is no longer probable.
5. **Cash and Cash Equivalents:** Cash and cash equivalents consist of cash in hand, bank balances and short term deposits with an original maturity of three months or less.
6. **Accounts Payable and Accruals:** Liabilities are recognized for amounts to be paid in the future for goods or services received whether or not billed to the university.
7. **Provisions:** Provisions are recognized when the university has an obligation arising from a past event, and the costs to settle the obligations are both probable and reliably measured.

8. **Employees' End of Service Benefits:** The university provides end of service benefits to its employees according to the UAE labor law. The expected costs of these benefits are accrued over the periods of employment.
9. **Internal Control:** The chief financial officer is responsible for maintaining a system of internal controls adequate to safeguard University financial assets.

**Interpretation:** Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** Internal Policy – Policies, Procedures, and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change

EXTERNAL AUDIT POLICY	
Effective Date	June 2009
Date of Last Update	February 13, 2019

**POLICY AD-F-05**

## PURPOSE

The purpose of this policy is to establish guidelines for the annual closing of the financial records of the university and the preparation of the audited financial statements.

## POLICY AND PROCEDURES

1. The fiscal year of the university is from September 1 until August 31.
2. The financial statements of the university are subject to an annual audit in accordance with International Standards on Auditing by the university's independent external auditors approved and appointed by the governing board.
3. External auditors coordinate their annual visit with the chief financial officer, the executive vice-president and the president to determine the purpose and the scope of the audit.
4. An exit meeting is also scheduled after the audit to coordinate the actions on the completed audit. A management letter is required as part of the auditors' report.
5. The finance office is responsible for preparing the financial statements in accordance with International Financial Reporting Standards, coordinating the annual financial closing with the external auditors and preparing all closing schedules.
6. The audited financial statements are submitted to the governing board for approval and recommendation.
7. The audited financial statements are submitted to the accreditation bodies upon request.

**Interpretation:** Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** Internal Policy – Policies, Procedures, and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	All	Reviewed for concurrence to current practice



<b>INVENTORY CONTROL POLICY</b>	
<b>Effective Date</b>	June 2009
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-F-06**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for inventory reporting practices at the university. This policy is produced to give all departments, both faculty and staff, information to enable them to make full use of the logistics operation and remain within the policy and guidelines of fixed asset inventory reporting at the university.

### **POLICY**

This policy details the responsibilities and functions of the Logistics Section. The Logistics Section is a division of the Central Services Department that was created to provide a full inventory service in support of all departments within the university.

This responsibility includes the receiving, storing, issuing and delivery of a broad range of items. In conjunction with the Finance Office, it is also accountable for the ongoing control and auditing of the university's fixed assets.

For purposes of this policy, fixed assets are defined as those non-consumable university items with a useful life of 3 years or more and a cost of \$500 (AED 1,825) or more. The cost includes the purchase cost plus installation and delivery charges.

### **PROCEDURES**

The following procedures relate to the handling and control of the university assets:

#### **Responsibility and Accountability**

Deans, directors and department heads are accountable for the reporting and security of all assets assigned to their respective departments or schools. They are also responsible for immediately notifying the Logistics Section of all movement or loss of any asset.

This accountability cannot be delegated, however, for the purpose of practicability it is recommended that each department appoint an assistant property officer who will regularly liaise with the Logistics Section on behalf of the department. It is the responsibility of each department, which acquires and holds the assets of the university to ensure such property, is:

- a) Reported when acquired (acquisition through purchase order should follow the guidelines as listed in the Purchasing Policy AD-F-01);
- b) Listed, regularly inventoried and safeguarded;
- c) Declared for disposal when no longer required; and
- d) Not to be removed from the university's campus at any circumstance. Department heads, deans and directors may obtain a listing of assets held by the department or location from the Logistics Section at any time.

## **Identification of Assets**

To individually identify and control the movement of university property, the Logistics Section will assign a unique university identification number (Tag) to each item meeting the fixed asset definition. The information captured will take account of the item's location, including Room and Building Number, model, serial number and warranty. This number will be attached to the fixed asset at the time of receipt or immediately on notification of receipt.

Assets costing under \$500 are also tracked in the university's computerized fixed asset system for the Central Services Department requirements but are not tracked in the financial system for depreciation purposes.

The Finance Office also maintains a record of fixed assets. As a minimum, financial fixed asset records will identify the cost and location of all assets owned by the university. The following information relating to the purchase of fixed assets will be captured by the finance department and relayed to the Logistics Section:

- Supplier Name
- Supplier Invoice Number
- Cost
- Description

## **Acquiring Assets**

All incoming assets will be recorded, tagged and accounted for in the university fixed asset module. The following guidelines should be used for additions to the university assets:

- a) Assets acquired through the Central Services Department are automatically tagged and recorded on receipt. Assets received by any other method including direct purchasing, gifts, transfers or items of value constructed for permanent use within the university, must be reported immediately by the head of department to the Logistics Section. Items that are received on loan, rental basis or are purchased to be dismantled for authorized university projects are not classed as assets but need to be reported to the Logistics Section.
- b) Additions to equipment should not be individually recorded as an asset. The addition becomes an integral part of the original item and substantially raises the value of the functional unit.
- c) All items must be recorded in the university fixed asset module regardless of the source of receipt. Items received without a value will be assigned one based on the value established with the donor or at an estimated market value obtained locally or finally by the Finance Office at an estimated value compared with any similar item previously received.

## **Personal Use**

Items purchased with university funds are the property of the university and are not intended for personal use.

### **Internal Transfer of Assets**

University property may be transferred from one department to another within the university by the agreement of both departments and the approval of the administration. However, in all instances the giving department must inform the Logistics Section of the change by submitting a "Change of Location Form" a copy of which is attached to these procedures. The new location will then be updated in the asset records.

### **Housing and Dormitory Assets**

Assets held in the faculty or staff housing and student dormitories are to be listed, checked and signed for by the incoming occupant on arrival in the accommodation. The resident will be held accountable for all assets issued to the property, which will be checked prior to departure and any discrepancies will be noted and accounted for before university clearance.

### **Disposal of Fixed Assets**

Disposals refer to fixed assets which were removed from service due to obsolescence or scrapping. Furthermore, property may only be transferred to another institution outside of the university via the authorized asset disposal procedure. The disposing department must make a request of the Logistics Section regarding the disposal by submitting a "Disposal Form," a copy of which is attached to these procedures. Only when the university as a whole has no need for the equipment will such assets be considered for external transfer and under no circumstances will assets be moved off campus without receiving approval. It is the policy of the university to dispose of excess property in a manner that will maximize the return or benefit to the university.

In addition, the *Logistics Section* may require at least once a year for the departments to identify all items that are no longer in use and inform the Finance Office to remove them from fixed assets records.

### **Inventory Auditing and Stocktaking**

The auditing responsibilities for this inventory are as follows:

- a) Inventory taken for all fixed assets will be audited annually by the Logistics Section;
- b) The Logistics Section is also responsible for maintaining files of all audit records for a period of three years and providing access to the internal and external auditors; and
- c) The Logistics Section may also carry out unannounced audits at any location throughout the university on an unscheduled basis.

### **Depreciation of Assets**

Details regarding the university's depreciation method for fixed assets may be found in the *Fixed Assets Policy AD-F-07*.

**Interpretation:** Director of Central Services and Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** Internal Policy – Policies, Procedures, and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	All	Syntax

# American University in Dubai

Central Services

Department

## Fixed Assets Location

### Changing Form

\_\_\_\_\_  
Name of Department

\_\_\_\_\_  
Requestor (First Name)

\_\_\_\_\_  
Last Name

\_\_\_\_\_  
Ext #

S.No.	AUD Tag.No.	From: Room No. & Bldg. Name	To: Room No. & Bldg. Name	Asset Description	Remarks

PS: Please fill the above and send it to Joerg Maak on **the same day** of changing the items' location, to enable us to update our records accordingly.

Prepared By: \_\_\_\_\_ Approved By: \_\_\_\_\_ Date: \_\_\_\_\_

### **Internal Use Only:**

Action Take By: \_\_\_\_\_

Date: \_\_\_\_\_

Ref: \_\_\_\_\_

# American University in Dubai

## Physical Inventory Verification Form

<b>Building Name &amp; Code</b>	
<b>Room No. :</b>	
<b>Floor:</b>	

### **Product Details:**

Sr. No.	Product Code	Description	Qty.

### **Bar Code No.**

Item No.	Bar Code No.	Item No.	Bar Code No.	Item No.	Bar Code No.	Item No.	Bar Code No.

All university items meeting the fixed asset definition are tracked in the university central services computerized fixed asset system. A fixed asset tag number is attached to such items for inventory and identification purposes.

**American University in Dubai**  
Central Services Department

Fixed Assets disposal Form

S.N	AUD Tag #	From: Room # & Bldg. Name	Asset Description	Donated to: company Name & address	Sold or send to a Scrap Company: Name and price

Please fill the first (4) columns and send it to Joerg Maak to enable us to get the necessary approvals to dispose of the items and update our records accordingly.

Prepared By: \_\_\_\_\_ Date: \_\_\_\_\_

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Approved By: \_\_\_\_\_

Central Services approval: \_\_\_\_\_

Date: \_\_\_\_\_

**Accounting Use**

Date posted to fixed assets: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

FIXED ASSETS POLICY	
Effective Date	June 2009
Date of Last Update	February 13, 2019

## POLICY AD-F-07

### PURPOSE

This policy/procedure is designed to assist the finance office in carrying out its responsibilities regarding the accountability for university fixed assets including furniture and fixtures, office, computer and classroom and lab equipment.

### POLICY

**Fixed Assets:** For purposes of this policy, fixed assets are defined as those non- consumable university items with a useful life of 3 years or more and a cost of \$ 500 (AED 1,825) or more. The cost includes the purchase cost plus installation and delivery charges.

**Fixed Asset Tracking and Tagging:** All university items meeting the fixed asset definition are tracked in the university central services computerized fixed asset system. A fixed asset tag number is attached to such items for inventory and identification purposes. Fixed assets costing under \$ 500 are also tracked in the university's computerized fixed asset system for the central services department needs but are not tracked in the financial system for depreciation purposes.

Great Plains Name	Great Plains General Ledger Code	Depreciation Method
Furniture & Fixtures	59-1410-00-00	S.L. 3 years
Furniture & Fixtures – Students Housing	59-1410-01-00	S.L. 3 years
Furniture & Fixtures – Faculty & Staff Housing	59-1410-02-00	S.L. 3 years
Furniture & Fixtures – Classrooms and Labs	59-1410-03-00	S.L. 3 years
Equipment	59-1430-00-00	S.L. 4 years
Equipment – Students Housing	59-1430-01-00	S.L. 4 years
Equipment – Faculty & Staff Housing	59-1430-02-00	S.L. 4 years
Equipment – Classrooms and Labs	59-1430-03-00	S.L. 4 years
Computer Equipment	59-1440-00-00	S.L. 3 years
Library Books	59-1450-00-00	S.L. 4 years
Vehicles	59-1470-00-00	S.L. 4 years
Leasehold Improvements	59-1400-00-00	S.L. 10 years



AUD adopts the straight line depreciation method to depreciate its assets. This method is applied consistently from period to period unless there is a change in the expected pattern of consumption of the respective assets' future economic benefits.

As a minimum, fixed asset records should identify the cost and location of all assets owned by the University. The following information relating to the purchase of fixed assets should be captured by the finance department:

- Supplier Name
- Supplier Invoice Number
- Cost
- Description

This information is transferred to Central services Fixed Assets Tracking software. Central services are responsible to tag and assign a bar code to each asset and capture its location including Room and Building Number and they add other information such as model and serial numbers and warranty.

### **Disposal of Fixed Assets**

Disposals refer to fixed assets which were removed from service due to obsolescence or scrapping. The Central Services department should identify at least once a year all items that are no longer in use by the departments or scrapped and inform the finance office to remove them from fixed assets records.

### **Personal Use**

Items purchased with university funds are the property of the university and are not intended for personal use.

**Interpretation:** Chief Financial Officer

**Ownership:** Executive Vice-President

**Publication:** Internal Policy – Policies, Procedures, and Regulations Manual

SUMMARY OF CHANGES		
Date	Section	Change
February 13, 2019	Policy (Fixed Assets)	Updated fixed assets table

<b>CONTROL OF EXTERNAL RESEARCH FUNDS POLICY</b>	
<b>Effective Date</b>	June 2011
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-F-08**

### **PURPOSE**

The American University in Dubai is committed to the security, confidentiality, and integrity of private or government grants used to fund research projects. The funds are used to cover the cost of course buyout (time released from teaching) for the professor, research assistants salaries, cost of attending related conferences, and related supplies, materials, and equipment.

### **POLICY**

To maintain financial control over the use of external funds, the university requires that any disbursement abide by the same procedure as any other university purchase (see Purchasing Policy AD-F-01).

### **PROTOCOL**

The relevant faculty member is required to inform the academic unit head, the Provost and Chief Academic Officer, and the Chief Financial Officer about the fund. He/ she must also attach all the required supporting documents indicating what AUD is to receive.

In the event that a grant is received to fund a fixed asset such as lab equipment, the asset will be added to the fixed assets register and depreciated according to its classification. The grant is recorded as deferred revenue and amortized over the same period of the fixed asset to offset the related depreciation expense.

**Interpretation:** Chief Financial Officer  
**Ownership:** Executive Vice-President  
**Publication:** Internal Policy

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
February 13, 2019	Protocol	Edited terminology

<b>RISK MANAGEMENT POLICY</b>	
<b>Effective Date</b>	June 2018
<b>Date of Last Update</b>	February 28, 2019

**POLICY AD-F-09**

## **PURPOSE AND SCOPE**

The purpose of this policy is to establish a general statement regarding risk management as embraced by AUD.

## **POLICY**

AUD recognizes its role of stewardship in protecting the human, property, and financial resources of the University. It interprets this responsibility as prevention of loss of the assets of the University and requiring the highest possible concern for the safety of its students, employees, and members of the public.

### **Responsibility for Risk Management**

1. University-wide risk and insurance management is the ultimate responsibility of The Board. Functional authority for the continued development and implementation of the risk management and insurance program is delegated to the President in consultation with the Executive Vice-President, the Chief Financial Officer and Director of Central Services.
2. The Chief Financial Officer shall install and implement an insurance plan to cover all risks related to fire and allied perils, natural disasters, burglary, fidelity guarantee, money, workmen compensation, general liability, professional liability for the Health Center staff, and property and plant. The University will emphasize the management of risk and overall cost reduction. It will purchase insurance only for those exposures to loss that cannot be better handled through other less costly methods.
3. The Chief Financial Officer and the Director of Central Services review the existing policies regularly with the insurance company(ies) to determine whether the existing coverage is adequate for the University's current situation.
4. The President, Executive Vice President, Chief Financial Officer and the Director of Admissions review enrollment trends regularly to determine whether the existing resources and expected revenue are adequate to sustain the University's needs.
5. The President, Executive Vice President and the Director of Human Resources review employee recruitment measures regularly to prepare for contingencies in the event of loss of key University personnel.
6. University administrators on annual basis reevaluate and assess existing programs, technology, applications and equipment to determine their currency, potential discontinuance internally or externally and internal capacity to maintain such programs and equipment.

### **Integral Elements Risk Management Function Include:**

1. Determination and evaluation: Identification of loss exposures and the size of potential losses inherent in the University's activities.
2. Risk financing: Determining whether to insure or self-insure, alternative types of insurance and self-insurance to consider, how much insurance to purchase, how much risk to retain, and negotiations for desired insurance coverage and service arrangements.
3. Claims administration: Coordination of the handling and settlement of all significant claims with insurers and corporate legal counsel. Establishing and maintaining administrative requirements for handling all claims.
4. General administration: Risk management budgeting and forecasting, planning for objectives, record and statistical keeping, accounting and cost allocation.
5. Loss prevention engineering: Coordination with Central Services and others as necessary in establishing systems and programs to prevent or minimize loss or damage to University assets or impairment of University earnings.
6. Safety administration: Coordinate and establish systems and programs to prevent or minimize injury to employee, and minimize risks associated with potential disasters.
7. Security: Coordinate and establish security requirements and procedures to prevent or minimize loss of University property or assets by employees or others.
8. Student Enrollment: Coordinate procedures to minimize and address risks associated with declining enrollment, or an increase in enrollment beyond the University's capacity.
9. Loss of Key Personnel: Coordinate employee recruitment procedures and capacity building measures to minimize and address loss of key University personnel and associated risks.
10. Information Technology: Coordinate and establish systems and contingency plans to prevent and minimize risks to the university's electronic data systems.
11. Obsolescence: Develop and implement annual audit of programs, services and equipment to determine their currency and need for discontinuance, replacement or improvement.

**Ownership:** Executive Vice-President

**Interpretation:** Chief Financial Officer

**Publication:** Policies, Procedures and Regulations Manual, Internal Financial Policy

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
13/12/2016	Responsibility for Risk Management	Redefined official responsibility
15/12/2016	Integral Elements of the Risk Management	Risks associated with enrollment, disasters, and loss of key personnel. Included Health Center staff under professional liability protection.
11/6/2018	Integral Elements	Added article 6 re Information Technology
28/2/2019	Responsibilities and Integral Elements	Added provision to deal with obsolescence

LIBRARY SERVICES AND OPERATIONS POLICY	
Effective Date	July 2017
Date of Last Update	July 2018

**POLICY AD-L-01**

## 1. Access Services Policy<sup>1</sup>

### 1.1. General Library Use

The Library supports an environment conducive to quiet study, research and group work. Students and other library patrons are encouraged to observe the following rules:

- Please lower your voice in the Library. Study rooms are available for group discussions.
- The use of mobile phones is allowed in the Library but ringers must be switched off. Mobile phone conversations should be conducted outside the Library.
- Facilities are available for the utilization of electronic equipment, i.e., laptops, TV/DVD, etc. Please use headphones/earphones to keep the noise level low or use the mute key on the computer.
- Please use the Library's furniture appropriately.
- Please help maintain a clean atmosphere and remove personal items, papers, water bottles and litter when leaving the library.
- Study space may not be reserved with unattended personal belongings. Unattended books, computers, etc. will be removed and relocated to Lost Property.
- Water and covered drinks are permitted. Open drinks and food are not permitted.
- Disruptive behavior is monitored and those exhibiting such behavior will be asked to leave.
- Users that fail to observe these rules will be asked to leave the library and/or reported to Campus Security.

### 1.2 Loan Policies

Currently enrolled AUD students, AUD faculty, staff and their families, and AUD alumni, may borrow materials and have access to the library's online databases, on and off campus.

- All materials must be checked out at the Circulation Desk. Borrowers may be asked to present the appropriate identification.
- Alumni must produce a valid Emirates resident identity card in order to apply to borrow materials from the library.
- Students, faculty and staff are responsible for all items checked out in their name.
- Students may check items out over the break between terms if they have registered for the following semester and can produce their course schedule.

### 1.3 Collection

The Library houses circulating and non-circulating materials and provides access to electronic resources.

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<sup>1</sup> The **ALA** defines **access services** as "those functions in a library which enable the use of the collections, including the general circulation functions, reserves (both "holds" in a public library and course reserves in an academic library), shelving and reshelving of materials, and stack maintenance." [https://wikis.ala.org/professionaltips/index.php?title=Access\\_Services](https://wikis.ala.org/professionaltips/index.php?title=Access_Services)

## **CIRCULATING COLLECTIONS**

Books from the general collection, DVD's, ESL readers, Topic books, back issues of journals, course reserve material, iPads and electronic items (adaptor plugs, internet cables, mobile chargers and headphones).

## **NON-CIRCLATING COLLECTIONS**

Reference books, current periodicals and newspapers.

## **ELECTRONIC RESOURCES**

- AUD library provides access to a range of online resources, including eBooks, reference, research and professional databases.
  - All users are required to have an assigned login and password to access these resources.
  - Access to our subscription databases off-campus, as per our license agreements, is available to currently enrolled students, staff and faculty.
  - Certain online resources require additional applications for our subscription content to be viewed. Be sure to contact us, or drop in at the library if you require assistance with this.
- 
- AUD faculty may place Library or personal material on reserve for the use of their students. Items will be kept at the Circulation desk, and issued to students according to the agreed periods.
  - Library and personal items can be placed on reserve by completing and submitting a course reserve form at the library or online. The library will notify faculty when the item is available on reserve for circulation.
  - Personal items should be handed over at the circulation desk after completing a request form. Personal items will be returned to faculty at the end of each semester or as specified.
  - All items placed on reserve must abide by UAE and international copyright laws.

## **LINKING TO LIBRARY RESOURCES ON THE COURSE MANAGEMENT PLATFORM (BLACKBOARD)**

- Refer to AUD's *Copyright and Fair Use Guidelines* when posting resources on Blackboard.
- Please ask librarians for assistance when posting links to the library's electronic resources.

## FACULTY TEXTBOOK COLLECTION

- As a general policy, AUD Library does not purchase course textbooks for the collection. The ordering of textbooks is not managed by the Library, and students are required to purchase their own print or eBook copies through the campus bookshop.
- The library does purchase, on a demand basis, a copy of textbook for teaching faculty, should they require it. Textbooks purchased by the Library remain the property of AUD library and should be returned at the end of the semester. Please complete and submit a Faculty Textbook request form to ensure that a copy of the approved title for a course is available for your teaching purposes.
- Faculty members may request that their copy or any extra copy of a textbook, be placed on reserve for their students.
- The Library may add textbooks to the collection if it is decided that the textbook supports long-term research or covers an emerging research area.
- Please allow enough time for the purchase and processing of required textbooks.

### 1.4 Borrower Categories

#### Undergraduate students

Format	Quantity	Period	Renewals
Books	8	3 weeks	1
Topic Books & ESL Readers	3	1 week	1
Media (DVDs, CDs, etc.)	3	1 week	1
iPads	1	1 week	0
Electronic equipment	1	1 day (overnight)	0
Reserves*	1	Varying	0

\*In-library use reserve material is due back before students leave the library (after 2 hours or 4 hours). Reserve material that circulates outside the Library have varying due periods, depending on the title (24 or 48 hours).

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Students are responsible for all materials checked out on their account and in the event of loss, will be liable for replacement fees.
- Fines are not imposed on overdue material but overdue items will result in borrowing privileges being suspended.
- Students with overdue material or outstanding bills at the end of the semester will not be able to register for classes, receive their grades and/or diplomas until the material is returned, and outstanding bills are paid.
- Students are responsible for returning all material checked out on their name.



## Graduate students

Format	Quantity	Period	Renewals
Books	12	3 weeks	1
Topic Books	3	1 week	0
ESL Readers	3	3 Weeks	1
Journals (back issues)	3	1 week	0
Media (DVDs, CDs, etc.)	3	1 week	1
iPads	1	1 week	0
Electronic equipment	1	1 day (overnight)	0
Reserve*	1	Varying	0

\*In-library use reserve material is due back before students leave the library (after 2 hours or 4 hours). Reserve material that circulate outside the Library have varying due periods, depending on the title (24 or 48 hours).

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Graduate students are responsible for all materials checked out on their account and in the event of loss or damage, will be liable for replacement fees.
- Fines are not imposed on overdue material but overdue items will result in borrowing privileges being suspended.
- Graduate students are responsible for returning all material checked out on their name.
- Graduate students with overdue material or outstanding bills at the end of the semester will not be able to register for classes, receive their grades and/or diplomas until the material is returned and outstanding bills are paid.

## Faculty

Format	Quantity	Period	Renewals
Books	50	Semester	As required
Faculty textbooks	As required	Semester	As required
Topic Books	3	1 week	0
ESL Readers	3	3 weeks	1
Journals (back issues)	5	1 week	0
Media (DVDs, CDs, etc.)	3	2 weeks	1
Reference titles	On request	1 day	0
Journal (current issues)	On request	1 day	0
Reserves	3	varying	0

\*In-library use reserve material is due back before students leave the library (after 2 hours or 4 hours). Reserve material that circulate outside the Library have varying due periods, depending on the title (24 or 48 hours).

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Faculty are responsible for all materials checked out on their account and in the event of loss or damage, will be liable for replacement fees.
- Faculty may assign another member of staff or enrolled student to check-out material(s) on their behalf. Please email and inform the Circulation Supervisor to arrange for this. Proxy requests will be documented on library accounts.

## Adjunct Faculty

Format	Quantity	Period	Renewals
Books	15	Semester	As required
Faculty textbooks	As required	Semester	As required
Topic Books	3	1 week	0
ESL Readers	3	3 weeks	1
Journals (back issues)	5	1 week	0
Media (DVDs, CDs, etc.)	3	2 weeks	1
Reserves	3	varying	0

\*In-library use reserve material is due back before students leave the library (after 2 hours or 4 hours). Reserve material that circulate outside the Library have varying due periods, depending on the title (24 or 48 hours).

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Adjunct faculty are responsible for all materials checked out on their account and in the event of loss or damage, will be liable for replacement fees.
- Adjunct faculty are responsible for returning all material checked out on their name.

### Administrative staff

Format	Quantity	Period	Renewals
Books	15	3 weeks	1
Topic Books	3	1 week	0
ESL Readers	3	3 weeks	1
Media (DVDs, CDs, etc.)	3	2 weeks	1

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Staff are responsible for all materials checked out on their account and in the event of loss or damage, will be liable for replacement fees.
- Staff are responsible for returning all material checked out on their name.

### Alumni

Format	Quantity	Period	Renewals
Books	3	3 weeks	1
Media (DVDs, CDs, etc.)	1	1 week	0

- AUD alumni have access to in-house use of the library's physical collection, reference services, and may access library databases on site.
- Off-campus use of the library's electronic databases, and as per the Library's license agreements, is not available.
- Wi-Fi access is available and printing and scanning facilities are available for a fee, payable at the Finance Department.
- Study rooms are reserved for the exclusive use of enrolled students during term time.
- Borrowing privileges are available for alumni who register annually with the Library. Alumni must produce a valid Emirates resident identity card in order to apply to borrow materials from the library. The expiration date must cover the period of membership.
- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Alumni are responsible for all materials checked out on their account and in the event of loss or damage, will be liable for replacement fees.

- Fines are not imposed on overdue material but overdue items will result in borrowing privileges being suspended.
- Alumni are responsible for returning all material checked out on their name.
- Alumni should ensure that all overdue material has been returned and/or outstanding bills paid in order to renew their annual membership subscription. The request for transcripts will be suspended until all items have been returned or paid for.

### Staff & Faculty Family Members

Format	Quantity	Period	Renewals
Books	3	3 weeks	0
Media (DVDs, CDs, etc.)	3	1 week	0

- The library may request that an item already checked out for a period of time, and required by another borrower, or for a course, be returned to the library.
- Spouses and children (over 16) may check-out books from the general collection and media on the sponsor's library account.
- Staff and faculty should email the Circulation Supervisor to arrange for family membership.
- A record of family membership will be recorded on the main sponsor's library account.
- Staff and faculty remain responsible for all materials checked out on their accounts and in the event of loss or damage, will be liable for the replacement fee.
- Staff and faculty remain responsible for returning all material checked out on their family accounts.

### Visiting Researchers

*AUD Library considers applications from members of the Dubai community for the use of our information resources for the purpose of research. Applicants must be currently enrolled in an educational institution and have a valid Emirates residence identification card.*

- Library privileges for approved researchers include in-house use of print collections and on site access to research databases.
- Borrowing privileges are not available, and the use of online databases is governed by AUD's license agreements.
- Study rooms are reserved for the exclusive use of the AUD community during term time.
- All applications will be reviewed by the Director of Library Services and submitted to the University President for approval.
- If approved, privileges are valid for three months and may be renewed by submitting an updated application.
- Use of library resources is governed by international intellectual property standards and library policies. Visiting researchers must agree to these conditions.
- The granting of privileges is at the discretion of the University President and may be revoked at any time.
- Completed applications, including supporting documentation must be submitted to the Director of Library Services.
- Please refer to *AUD Library Community Access Policy* for more information.

## *1.5 General Circulation Policies*

### **1.5.1 Renewals**

- Items may be renewed for the same period as the original loan period.
- Items that may not be renewed, include: course reserve material, iPads, journals and electronic equipment.
- Books may be renewed via the library catalog, by renewing the item at the library, or by telephoning the library circulation desk during the Library's normal hours of operation.
- Items that have been reserved by other patrons will not be renewed.

### **1.5.2 Recalls**

- Any circulating item may be recalled for the use of another patron, or for course reserves.

### **1.5.3 Holds**

- Patrons may reserve a circulating item checked out to someone else.
- A HOLD will be placed on the item and the patron will be notified when it is returned.
- Patrons will have 3 days to collect item(s) from the circulation desk.
- Items not collected will be returned to the shelf after 3 days.
- Number of holds: 1 for general categories, 2 for undergraduate students; 3 holds graduate students, all faculty.

### **1.5.4 Overdues**

- Fines are not imposed on overdue material but overdue items will result in borrowing privileges being suspended.
- Students with overdue material or outstanding bills at the end of the semester will not be able to register for classes, receive their grades and/or diplomas until the material is returned and outstanding bills are paid.
- Alumni should ensure that all overdue material has been returned and/or outstanding bills paid in order to renew their annual membership subscription. The request for transcripts will be suspended until all items have been returned or paid for.

### **1.5.5 Damaged or Lost Items**

- Items that need to be replaced due to loss or damage are charged at the replacement cost of the item, including a processing fee of AED 75.00.
- Replacement costs will be determined when the item has been declared lost. If an item is out of print, its replacement cost will be the average cost of an item for that subject.
- Borrowing privileges will be suspended, grades and transcripts withheld, until lost or damaged items are paid for and cleared from a borrower's account.
- Reports and statements for lost or damaged items should be collected from the Library and paid at the Finance Department.

### **1.5.6 Blocks**

- Temporary blocks may be placed on student accounts with overdue material during the course of a semester. Blocks may include the suspension of access to Wi-Fi and Blackboard.
- Students with overdue material or outstanding fines/bills at the end of the semester will not be able to register for classes, receive their grades and/or diplomas until the material is returned and outstanding bills are paid.

## **2. Other Services & Facilities**

### **2.1 Printing & Photocopying**

Black & white and color printers are available in the library. A campus-wide, print management system (PaperCut) is used to enable print jobs from all computers in the library and tracks students' printing credit. Printers and photocopiers are located to the right of the entrance to the Library.

Students may purchase printing and photocopying credit at the Finance Department during office hours or use the self-service payment machine in the Library to top up accounts.

### **2.2 Group Study Rooms**

Four group study rooms are available in the Library and designed to provide a collaborative space for small groups and a minimum of three people are required to book a study room. Study rooms are not intended for social gatherings and noise levels need to be managed at all times.

- Study rooms can be checked out for 2 hours.
- A study room may be extended for one (1) additional hour should it be available during that period.
- Please note that during the exam periods, and to manage demand, extensions of time will not be allowed.
- Students who have not arrived within 15 minutes of the scheduled start time will be considered no-shows and the reservation will be cancelled.
- Food is not permitted in the study rooms, and drinks should be covered with an appropriate lid.
- Please leave the key at the circulation desk should you need to leave for a short period during the reservation period or at the end of your session.
- Students who fail to observe library policies, or create a disturbance will be asked to leave.
- Students are responsible for leaving the rooms in a neat and orderly condition. Failure to do so may result in the denial of future requests to use a study room.

### **2.3 Computer Laboratories**

Three computer laboratories, including a teaching laboratory, with desktop computers are available in the library, for the use of students and faculty. All library computers are equipped with standard software.

Use of these laboratories is on a first come first served basis. The teaching laboratory may be reserved for classes and library workshops.

### **2.4 Quiet Study and Reading Areas**

The area behind the main collections stacks is designated as a quiet space and intended for individual reading and research.

### **2.5 Viewing Media**

The media collection (DVDs and CDs) may be played on the Library's computers (headphones are available for this); and viewing stations for DVDs are also available in two of the group study rooms.

The library's collection of DVDs, feature films and documentaries **are not** licensed for public performance viewing and may be used on an individual basis for private study and research, and according to UAE copyright law.

## **2.6 Research Assistance and Library Instruction**

Librarians provide reference, research and citation support on a point-of-need assistance and through online subject and course guides. Formal instruction sessions are offered on request, and in collaboration with faculty. These sessions include database instruction and research skills guidance, and support the development of information literacy competencies. Please complete the relevant online form to schedule a library class.

Subject guides, course guides and web tutorials are developed to support research process and skills, and showcase appropriate subject resources. Faculty are invited to contribute and/or collaborate in the compilation of these guides.

## **2.7 Inter Library Loan and Document Delivery**

This service is intended to fulfil short-term research needs and is offered to faculty. Materials for loan are available at the discretion of the lending library. Due to the cost of this service, the library may need to restrict the number of orders submitted per user.

Please complete the relevant online request form to request an article or book.

## **2.8 Suggest New Titles**

Faculty, staff and current students are encouraged to suggest new titles to be added to the library's collection. All suggestions are reviewed by the library's subject liaisons who determine selection based on AUD's collection development policy and budget parameters. Selections that support curriculum needs will be prioritized.

Please note that it can take a couple of months before a new print title becomes available for circulation. Suggestions for new journal and database subscriptions are evaluated over a period of time to establish value and need, and are included in the succeeding academic year's budget proposal.

Please complete the relevant online form to submit a request.

## **2.9 Recording and Taking Photographs in the Library**

- Requests from the media or outside organizations for taking photographs or videos in the Library should be directed to the university's Communications office.
- Photography or videography requests from members of the AUD community is permitted with the approval of the Director of Library Services and if it is for student projects, or AUD community purposes.
- No photographs may be taken, or video recordings made, without the express permission of the Library patrons who will appear in the composition.

## **2.10 Posting Promotional Material in the Library**

The Library supports the promotion of non-library events and services of direct interest to the AUD community, provided that this does not interfere with library operations and the scholarly environment of an academic library.

Posters that have been approved by the Communications office, may be displayed in designated locations, and with the permission of the Director of Library Services.

### **2.11 Service Requests**

Library patrons may email or request for service using the following online forms:

1. [Alumni Library Registration](#)
2. [Course Reserve Request](#)
3. [Faculty Textbook Request](#)
4. [Interlibrary Loan & Document Delivery Request](#)
5. [Library Workshop Request](#)
6. [Suggest a New Title](#)
7. [Visiting Researcher Application](#)



### 3.0 Appendix

## Online Request Forms

### A. Alumni Library Registration

Alumni Library Registration

Full name of Applicant: (required)

Student ID number:

AUD Alumni email: (required)

Personal email:

Mobile number (local): (required)

Date of application: (required)

DDMM/YYYY

Address in Dubai: (required)

NB. Please submit a copy of your Emirates Residency Identity card at the Library to complete your application.

Submit

### B. Course Reserve Request (Springshare LibWizard)

#### Form Introduction:

- AUD faculty may place library or personal material on reserve for the use of their students.
- Library and personal items can be placed on reserve by completing and submitting a course reserve form online. The library will notify faculty when the item is available on reserve for circulation.
- Personal items should be handed over at the circulation desk after submitting the online request form. Personal items will be returned to faculty at the end of each semester or as specified.
- All items placed on reserve must abide by UAE and international copyright laws.

Course Reserve Request

Date of request: (required)

DDMM/YYYY

Faculty Name: (required)

Email: (required)

Telephone: (required)

Course code: (required)

Course name: (required)

Date to be removed from reserve: (required)

DDMM/YYYY

Please indicate item type: (required)

☐ Personal item

☐ Library item

☐ Media (DVD etc.)

☐ Journal issue

☐ Photocopy

Title: (required)

Author/Editor: (required)

ISBN: (required)

Loan Period: (to 1000 hours) (required)

☐ 2 hours

☐ 4 hours

Loan period: May circulate outside Library (required)

☐ 2 hours

☐ 1 day

☐ 2 days

Submit

## C. Faculty Textbook Request

### Form introduction

- AUD faculty may request a copy of an approved textbook for teaching purposes.
- Textbooks purchased by the Library remain the property of AUD library and should be returned at the end of the semester.
- Please complete and submit a request to ensure that a copy of the approved title is made available for you.
- If locally available, a copy will be reserved, and available for collection at the Library.

Faculty Textbook Request

Name of faculty: <small>(required)</small>	<input type="text"/>
Email: <small>(required)</small>	<input type="text"/>
Telephone: <small>(required)</small>	<input type="text"/>
Date of request: <small>(required)</small>	<input type="text" value="MM/DD/YYYY"/>
Course code: <small>(required)</small>	<input type="text"/>
Course name: <small>(required)</small>	<input type="text"/>
Textbook title: <small>(required)</small>	<input type="text"/>
ISBN:	<input type="text"/>
<input type="button" value="Submit"/>	

## D. Interlibrary Loan & Document Delivery Request

### Form Introduction:

- AUD faculty may request books and articles available through our interlibrary loan or document delivery services.
- Delivery of books may take up 7 to 10 days.
- Limits to number of requests may be applied and faculty will be informed accordingly.
- Please complete the following form and submit your request.

Interlibrary Loan & Document Delivery Request

Name: <small>(required)</small>	<input type="text"/>
Department/Program: <small>(required)</small>	<input type="text"/>
Please indicate the following: <small>(required)</small>	<input type="text" value="Make a selection"/>
AUD Email: <small>(required)</small>	<input type="text"/>
Last date required, if any:	<input type="text" value="DDMMYYYY"/>
Please indicate request type: <small>(required)</small>	<input type="text" value="Make a selection"/>
Title of book/article/paper: <small>(required)</small>	<input type="text"/>
Author/Editor of book/article/paper: <small>(required)</small>	<input type="text"/>
Publisher/Publication Title: <small>(required)</small>	<input type="text"/>
ISBN/ISSN:	<input type="text"/>
Date of publication/ Vol. No./Pages: <small>(required)</small>	<input type="text"/>
Complete all fields above or provide link to bibliographic details (eg. Amazon.com):	
<input type="text"/>	
<input type="button" value="Submit"/>	

## E. Library Workshop Request

### Form introduction:

AUD faculty may request library workshops for their students. Workshops include instruction on specific databases, research skills guidance, and class assignment support.

Please note the following:

- A faculty member should be in attendance during the workshop
- Workshops should be scheduled at least a week in advance

Please complete the following form to request for a library workshop or reschedule an existing slot.

**Library Workshop Request**

Name of faculty: (required)

Email: (required)

Telephone: (required)

Course Code: (required)

Course Title:

Number of students: (required)

Please indicate three preferences for date and time of library instruction

1st choice: (required)

DDMMYY

HH:MM:seconds

2nd choice: (required)

DDMMYY

HH:MM:seconds

3rd choice: (required)

DDMMYY

HH:MM:seconds

Please describe the purpose of the workshop (library-use orientation, database instruction, research skills guidance, assignment support): (required)

If available, please attach course syllabus or assignment handout: (required)

Choose a file to upload here.  
Maximum file size: 20 MB

Clear File

Submit

## F. Suggest a New Title

### Form introduction:

- Faculty, staff and current students are encouraged to suggest new titles to be added to the library's collection. All suggestions are reviewed by the library's subject liaisons. Selections are based on AUD's collection development policy and budget parameters. Recommendations that support curriculum needs will be prioritized.
- Please note that it can take a couple of months before a new print title becomes available for circulation.
- Suggestions for new journal and database subscriptions are evaluated to establish value and need, and are included in the succeeding academic year's budget proposal.

Suggest a New Title

Name (required)

AUD Email (required)

Department/Program (required)

AUD Status (required)  
Make a selection

Date required  
(Please show time for evaluation, sourcing and processing)

Please indicate material type (required)  
Make a selection

Please indicate preferred format  
☐ Online  
☐ Print

Title (required)

Author/Creator (required)

Publisher

Date of publication

ISBN/ISSN

Complete all fields above or provide link to bibliographic details (eg. Amazon.com)

Please indicate primary purpose (required)  
Make a selection

Submit

## G. Visiting Researcher Application

### Form introduction:

- AUD Library considers applications from members of the Dubai community for the use of our information resources for the purpose of research. Applicants must be currently enrolled in an education institution and be in possession of a valid UAE residency identity card.
- Please complete and submit application and email supporting documentation to the Director of Library Services
- Please note that incomplete applications will not be processed.

Visiting Researcher Application

Full name of Applicant (required)

Email (required)

Telephone (Dubai) (required)

Date of application (required)

Educational institution (required)

Program of study (required)

Description of Research (required)

Address in Dubai (required)

Identify resources required (see our website for information on our collections) (required)

Start of period of access (3 months only) (required)

The following documentation is required for applications to be considered:

1. Student number and proof of enrollment at your institution
2. A letter (email) from your faculty advisor stating your standing in your program of study
3. A scan of your UAE ID card

Email documentation to the Director of Library Services (find the email address on the Library's website).

LIBRARY COMMUNITY ACCESS POLICY	
Effective Date	July 2017
Date of Last Update	July 2018

## POLICY AD-L-02

The American University in Dubai is a private institution and its collections are available to currently enrolled students, alumni of the university, faculty, staff and their families. Members of the public may apply to use the Library and be granted access, under certain circumstances.

Applications from visiting researchers and other community applicants are considered for onsite access to the Library's information resources. The following categories of community users are available.

### 1.0 Visiting Researchers

Scholars or students currently employed or enrolled in academic institutions may apply for access to library resources. Applicants should complete the application form online, and submit supporting documentation by email for the attention of the Director of Library Services.

*Access is granted on the following basis:*

- Library privileges include in-house use of print collections and on-site access to library research databases.
- Borrowing privileges are not available, and use of online databases is governed by AUD's license agreements.
- Use of library resources, including copying and scanning, is governed by international intellectual property standards and library policies.
- All applications will be reviewed by the Director of Library Services, and submitted to the University President for approval.
- If approved, privileges are valid for three months and may be renewed by submitting an updated application.
- The granting of privileges is at the discretion of the University President and may be revoked at any time.
- Applicants must agree to these conditions.

*Supporting documentation required:*

- Student number and proof of enrollment / staff ID and letter of employment from academic institution
- A letter (organization e-mail) from faculty advisor stating standing in academic program of study / approved research proposal
- Copy of valid Emirates resident identity card

## **2.0 Registrants of the Autodesk Certified Professional Exam at AUD**

Registrants may apply for access but this service is complimentary, and the Library does not collect textbooks or exam preparation materials to support the Autodesk professional certification exam.

*Access is granted on the following basis:*

- Library privileges include in-house use of print collections and on-site access to library research databases.
- Borrowing privileges are not available, and use of online databases is governed by AUD's license agreements.
- Use of library resources, including copying and scanning, is governed by international intellectual property standards and library policies.
- All applications will be reviewed by the Director of Library Services, and submitted to the University President for approval.
- If approved, privileges are valid for one month, and from the date of registration for the Autodesk Professional Certification Exam.
- The granting of privileges is at the discretion of the University President and may be revoked at any time.
- Applicants must agree to these conditions.

*Supporting documentation required:*

- Proof of exam registration
- Email/ letter of support from AUD examiner
- Copy of valid Emirates resident identity card

## **3.0 Procedure**

- Applicants should complete an online application form and submit required documentation, by email, to the Director of Library Services.
- Reviewed applications will be submitted to University President for final approval.
- Successful applicants details, including period of access, will be communicated to Central Services and Information Technology departments to secure access to campus and facilities (Wi-Fi, printing/photocopying access).
- Successful applicants will be informed by email.
- Approved users are required to sign-in at the library.

COPYRIGHT & FAIR USE RECOMMENDATIONS	
Effective Date	June 2018
Date of Last Update	-

## POLICY AD-L-03

### I. Introduction

#### PURPOSE

The following recommendations are intended to support the use and reproduction of copyright protected works by AUD students, faculty and staff. These recommendations do not replace legal advice and the AUD community is expected to abide by copyright laws and exercise good judgement in fulfilling their educational, teaching and research needs. Users of these guidelines assume all responsibility for copying (print & digital), observing license agreements, and seeking permission from copyright owners when necessary.

UAE copyright laws govern the use of protected works in the country. As an accredited American curriculum university, AUD favors a US fair use doctrine within the framework of international copyright conventions, of which the UAE and the US are signatory nations; and insofar as these practices are in agreement with local copyright statutes.

In addition, AUD Library observes licensing agreements with vendors of information products. These contracts may include terms that are not in agreement with fair use exceptions provided by copyright law, or conversely, guarantee greater permissions.

#### DEFINITIONS

**COPYRIGHT** is a legal concept that protects the moral and economic rights of the owner of a protected work. It gives the owner the right of attribution, the right to reproduce or distribute, prepare a derivative work, and perform or display a work in public.

A work is **PROTECTED** the moment it is created and fixed in a tangible form, and perceptible, either directly or with the aid of a device. A protected work may be published or unpublished and as per international copyright agreements, this protection includes local and foreign works from signatory nations. The term of protection generally includes the author's lifetime and an additional period. This additional period may vary according to genre of work, but it is generally 50 years in the UAE, and 70 years in the USA.

According to UAE copyright law, **REPRODUCTION** is the making of, "a copy or more of a work, phonogram, broadcasting program or any performance in any shape, including permanent or temporary electronic storing, irrespective of the mode used in reproduction."<sup>1</sup>

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<sup>1</sup> UAE Ministry of Information and Culture. Federal Law No. (7) of the Year 2002 Concerning Copyrights and Neighboring Rights.



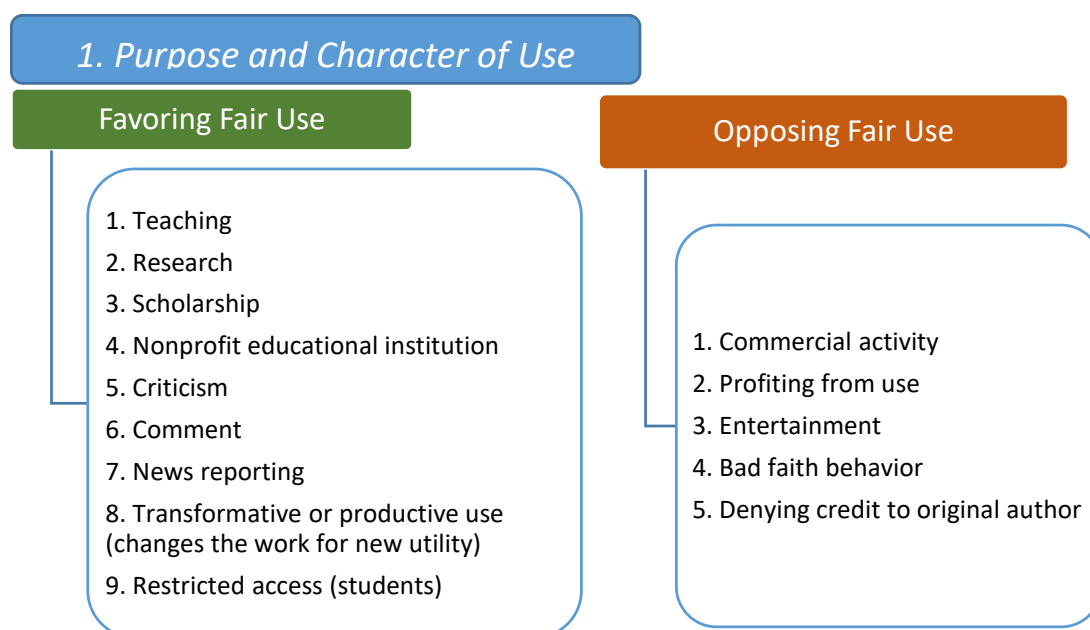
**FAIR USE** is a legal concept that allows for use of a limited amount of protected material under certain circumstances without first obtaining the permission of the copyright owner or providing payment. As a signatory nation to international copyright agreements, the UAE observes the Berne Convention, which mandates fair use practices. Various exceptions to copyright, in addition to fair use or practice, exist under UAE and US copyright laws. Certain exceptions to copyright in the US legal system (for example, *Face-to-Face Teaching* and *TEACH Act*) are specific to nonprofit educational institutions, including the *Agreement on Guidelines for Classroom Copying*.

## II. Use and Reproduction of Protected Works in the classroom

International conventions support the fair and free use of protected material for the advancement of knowledge and UAE copyright law (Article 22.8) allows for teachers to copy, quote, scan, clip short extracts of copyrighted material (text, video, images, etc.) in the course of preparing and delivering classes. The understanding is, that the material used, should not adversely affect the moral or economic rights of the owner; that the use should be limited and specific to the purpose. US copyright law (Section 107) provides four factors for evaluating fair use that may help in determining the limits of fair use: purpose of use, nature of work, amount used, and effect on the market. All factors should be considered to determine whether the use or reproduction of a protected work favors fair use on balance.

### A. Fair Use Checklist

The following checklist provides guidelines for assessing fair use and is based on US copyright law.<sup>2</sup> It is recommended that faculty document the evaluation process.



*Please note* that the use of protected works for the purpose of “parody” and as included in the original checklist, is not supported by UAE copyright exemptions.

<sup>2</sup> Adapted from the University of Columbia [Fair Use Checklist](#) 

## 2. Nature of the Copyrighted Work

### Favoring Fair Use

1. Published work
2. Factual or nonfiction based
3. Supports educational objectives

### Opposing Fair Use

1. Highly creative work (art, music, novels, films, plays)
2. Fiction

*It is strongly recommended* that unpublished works - and as included in the original checklist, not be used or reproduced without the permission of the owner.

## 3. Portion of the Copyrighted Work Used

### Favoring Fair Use

1. Small quantity
2. Portion used is not central or significant to entire work
3. Amount is appropriate for educational purpose

### Opposing Fair Use

1. Large portion or whole work used
2. Portion used is central to or the "heart of the work"

## 4. Effect of Use on the Potential Market

### Favoring Fair Use

1. Copier owns lawfully purchased or aquired copy of original work
2. One or few copies made
3. No significant effect on the market or potential market for copyrighted work
4. No similar product marketed by the copyright holder
5. Lack of licensing mechanism

### Opposing Fair Use

1. Could replace sale of copyrighted work
2. Significantly impairs market or potential market for copyrighted work or derivative
3. Reasonably available licensing mechanism for the use of copyrighted work
4. Affordable permission available for using work
5. Numerous copies made
6. You made it accessible on the Web or in a public forum
7. Repeated or long-term use

## B. Copyright Basics

### Do:

- Provide copyright information on each copy. This should include the copyright symbol/or word, year of publication, and name of the copyright owner.
- Always provide a bibliographic citation for a quotation, extraction, clip, etc.
- Ask for permission when use is not supported by available exceptions to copyright law or license agreements.

### Do not:

- Reproduce to replace the need to purchase a book or textbook available in the market.
- Reproduce protected consumables (workbooks, test booklets, etc.).
- Reproduce unpublished work without the permission of the owner.
- Create course packs of protected works without securing permission from copyright owners.
- Use a bibliographic citation as a substitute for requesting permission.

## C. Electronic Course Content Posting

Faculty may post teaching materials on the course management platform, however, providing reproductions (scanned copies) of protected works may oppose fair use. *Of note*, the posting of textbook materials intended for purchase by students is not considered fair use.

### *It is recommended that faculty:*

- Evaluate reproductions according to fair use criteria, and ensure material is restricted to enrolled students, and remove posted resources in a timely fashion.
- Use supplementary teaching materials intended for course management integration and provided by publishers of AUD adopted e-textbooks.
- Where possible, identify resources to use for coursework already available through the Library's licensed electronic databases and provide links on the course page (articles from journals, eBooks, videos, images, etc.).
  - Be sure to use a persistent URL (permalink) or contact the Library for assistance.
  - Contact the Library to verify the number of copies of an eBook available for simultaneous access.
  - Include a bibliographic citation for every resource link.

*Please note* that electronic editions of prescribed textbooks are not available through the Library. Codes to access electronic copies of textbooks are only available through the campus bookshop and/or the appropriate service provider (publisher or vendor).

- Verify that “free” books and other materials (images, sound clips, videos, etc.) available on the Web have been posted legally before uploading them on a course management system or course webpage.
  - It is preferable to provide a link to the source rather than upload a file.
  - Online sources may include copyright notices that describe acceptable use of content. If educational use is not included, permission from the copyright owner is required.

#### D. Showing Films in the Classroom

- Permission is required for any public performance. A performance is “public” if it is in a place open to the public or at any place where a number of people, outside of a normal circle of friends and family, have gathered.

##### ***To show a copyright-protected film, faculty should:***

- Source and access, if available, the film through the library’s video streaming platform (Kanopy). This service includes public performance rights for education institution subscribers.
- Show films that are on the public domain (no longer covered by copyright) or find online video streaming services that allow for educational use of resources.
- Secure and budget for required public performance licenses for planned single title screenings. (See Filmbank Media - <https://www.filmbankmedia.com/licences/stsl/>)

*Please note that the Library’s DVD collection does not include public performance licenses and is for private study and research purposes.*

#### E. Asking For Permission

Use of copyright materials that ***fall outside fair use***, requires permission. **Acknowledging the source of the copyrighted material does not substitute for obtaining permission.**

Permission may come directly from the copyright owner, representative agent, or a copyright clearinghouse.

Permission is usually granted at a cost. Faculty members will need to consult with their department heads to ensure a budget is available to cover permission costs.

- Identify the copyright owner.
- A collective rights clearance agency may facilitate permission for the use and reproduction of books and articles for teaching and research purposes. (**Copyright Clearance Center** - <http://www.copyright.com/get-permissions/>)
- If permission is unavailable through a clearance agency - check publisher’s website or search the Web for contact details and request permission directly from copyright owner.
- Document the process and keep a copy of all correspondences. (See examples of model permission letters – *Columbia University Libraries* <https://copyright.columbia.edu/basics/permissions-and-licensing.html#Model%20Permission%20Letters>)

### **III. Use and Reproduction of Protected works in the Library**

#### **A. Library Reserve Collection**

- Copyright protected works may be placed on reserve without obtaining permission from the rights owner.
- Placing multiple reproductions (photocopies) of a protected work on Reserve, including making eReserves copies, may require permission from the copyright owner.

#### **B. Private Study & Research**

- Library patrons using the Library's equipment for the reproduction of protected material are responsible for observing copyright law. The Library posts notices on all equipment accordingly.
- Single copies of copyrighted materials may be made for private study and research.
- Patrons should not engage in the systematic and repeated reproduction of any material.
- The reproduction of an entire or substantial part of a work for private study and research, without permission of the copyright owner, is not supported by the Library.
- Examples of materials that may not be reproduced include: musical, pictorial, graphic and audiovisuals works, and motion pictures.

#### **C. Inter Library Loan**

- The Library may request the reproduction of articles and chapters of books through an inter-library loan service to meet an individual member's private study and research needs. The copy becomes the property of the requester.
- The amount requested and reproduced from any protected work should not replace the purchase or subscription of the work (CONTU<sup>3</sup>).
  - A limit of five copies of articles or chapters may be requested from the most recent five years of a single journal title in a calendar year. Any subsequent articles from the same journal title may require the paying of royalty fees.
  - A limit of five copies of articles and chapters of a non-periodical work may be requested in a given calendar year, during the entire period of copyright of the book. Copyright permission and royalty fees may be charged for any further use of an individual title.
  - All reproductions should include a copyright notice.

#### **D. Preservation**

- The Library may make a copy of a protected work if the work is in its collection and for the purpose of preservation - and if the following conditions are met:
  - To replace damaged, or lost, or obsolete formats of the work; and
  - A replacement copy could not be obtained at a fair price.
- A digital preservation of a protected work may be made under the same conditions but the digital copy may not be made available to the public outside the Library's premises.

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<sup>3</sup> Commission on New Technological Uses of Copyrighted Works (CONTU):  
<https://babel.hathitrust.org/cgi/pt?id=mdp.39015026832934;view=1up;seq=3>

## IV. APPENDICES

### Appendix A. Federal Law No. (7) of the Year 2002 Concerning Copyrights and Neighboring Rights Article 22 [Permitted Acts] <sup>4</sup>

**22. Without prejudice to literary rights of the author stipulated in this law, the author after the publication of his work must not prohibit a third person to perform one of the following acts:**

1. To make a sole copy from the work for the merely personal and non-commercial or professional but personal use of the copier. The works of the fine and applied arts are excepted unless were located in public place by consent of the right holder or his successor, the works of architecture are also excepted as in para (7) of this article and also the computer programs and their application unless as indicated in para (2) of this article.

2. Making a sole copy of a computer programme with acknowledgement of its legitimate acquisition who has a unit to derive its application or database from, provided that such act occurs in the limits of the licensed purpose or the purpose to retain or substitute at the time of losing the original, been damaged or became invalid to use.

The reserve or derived copy must be destroyed even if it was stored in a computer as soon as the right of acquisition of the original copy is no more valid.

3. Copying protected works to use them in judicial procedures or analogous to them within the limits required by such procedures provided that the source and the author name be mentioned.

4. Taking a sole copy of the work with acknowledgement of records house or archives, libraries, or documentation centers who do not seek direct or indirect profit all in the following two cases:

a. Copying must be for the purpose of preservation of the original, or to exchange it for a lost, destroyed unsuitable to use or not possible to obtain a substitute copy for it, against reasonable conditions.

b. The purpose for copying must be in reply to application by a natural person to use it for research or study provided that it must be granted for one time or for interrupted periods of time provided that obtaining a license became impossible in accordance with the provisions of this law.

5. Quotation of short paragraphs, derivation or reasonable analysis of the work for the purpose of criticism, discussion, or information provided mentioning the source and the author's name.

6. Performing the work in family meetings or by students in an educational institute against no direct or indirect remuneration.

7. Presenting the fine arts, applied and plastic arts works or architectural works in broadcasting programmes, if such works are permanently present in public places.

8. Reproduction of written, sound or audio-visual short excerpts for cultural, religious, educational or vocational training purposes, provided that copying be in the reasonable limits of its purpose and that the name of the author and the title of the work be mentioned wherever is possible and that the copying authority does not aim at direct or indirect profit and that license for copying was unobtainable in accordance with the provisions of this law.

<sup>4</sup> Available from WIPO - [http://www.wipo.int/wipolex/en/text.jsp?file\\_id=124612](http://www.wipo.int/wipolex/en/text.jsp?file_id=124612)

## Appendix B. Berne Convention for the Protection of Literary and Artistic Works<sup>5</sup>

### Article 9

#### Right of Reproduction:

##### **1. Generally; 2. Possible exceptions; 3. Sound and visual recordings**

- (1) Authors of literary and artistic works protected by this Convention shall have the exclusive right of authorizing the reproduction of these works, in any manner or form.
- (2) It shall be a matter for legislation in the countries of the Union to permit the reproduction of such works in certain special cases, provided that such reproduction does not conflict with a normal exploitation of the work and does not unreasonably prejudice the legitimate interests of the author.
- (3) Any sound or visual recording shall be considered as a reproduction for the purposes of this Convention.

### Article 10

#### Certain Free Uses of Works:

##### **1. Quotations; 2. Illustrations for teaching; 3. Indication of source and author**

- (1) It shall be permissible to make quotations from a work which has already been lawfully made available to the public, provided that their making is compatible with fair practice, and their extent does not exceed that justified by the purpose, including quotations from newspaper articles and periodicals in the form of press summaries.
- (2) It shall be a matter for legislation in the countries of the Union, and for special agreements existing or to be concluded between them, to permit the utilization, to the extent justified by the purpose, of literary or artistic works by way of illustration in publications, broadcasts or sound or visual recordings for teaching, provided such utilization is compatible with fair practice.
- (3) Where use is made of works in accordance with the preceding paragraphs of this Article, mention shall be made of the source, and of the name of the author if it appears thereon.

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<sup>5</sup> Available from WIPO: [http://www.wipo.int/treaties/en/text.jsp?file\\_id=283698#P144\\_26032](http://www.wipo.int/treaties/en/text.jsp?file_id=283698#P144_26032)

## Appendix C. U.S. Copyright Act, 17 U.S.C. §107 & §108<sup>6</sup>

### §107. Limitations on exclusive rights: Fair use

Notwithstanding the provisions of sections 106 and 106A, the fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use the factors to be considered shall include-

- (1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
- (2) the nature of the copyrighted work;
- (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- (4) the effect of the use upon the potential market for or value of the copyrighted work.

The fact that a work is unpublished shall not itself bar a finding of fair use if such finding is made upon consideration of all the above factors.

(Pub. L. 94-553, title I, Sec. 101, Oct. 19, 1976, 90 Stat. 2546; Pub. L. 101-650, title VI, Sec. 607, Dec. 1, 1990, 104 Stat. 5132; Pub. L. 102-492, Oct. 24, 1992, 106 Stat. 3145.)

### § 108. Limitations on exclusive rights: Reproduction by libraries and archives

(a) Notwithstanding the provisions of section 106, it is not an infringement of copyright for a library or archives, or any of its employees acting within the scope of their employment, to reproduce no more than one copy or phonorecord of a work, or to distribute such copy or phonorecord, under the conditions specified by this section, if-

- (1) the reproduction or distribution is made without any purpose of direct or indirect commercial advantage;
- (2) the collections of the library or archives are
  - (i) open to the public, or
  - (ii) available not only to researchers affiliated with the library or archives or with the institution of which it is a part, but also to other persons doing research in a specialized field; and
- (3) the reproduction or distribution of the work includes a notice of copyright.

(b) The rights of reproduction and distribution under this section apply to a copy or phonorecord of an unpublished work duplicated in facsimile form solely for purposes of preservation and security or for deposit for research use in another library or archives of the type described by clause (2) of subsection (a), if the copy or phonorecord reproduced is currently in the collections of the library or archives.

(c) The right of reproduction under this section applies to a copy or phonorecord of a published work duplicated in facsimile form solely for the purpose of replacement of a copy or phonorecord that is damaged, deteriorating, lost, or stolen, if the library or archives has, after a reasonable effort, determined that an unused replacement cannot be obtained at a fair price.

(d) The rights of reproduction and distribution under this section apply to a copy, made from the collection of a library or archives where the user makes his or her request or from that of another library or archives, of no more than one article or other contribution to a copyrighted collection or periodical issue, or to a copy or phonorecord of a small part of any other copyrighted work, if-

- (1) the copy or phonorecord becomes the property of the user, and the library or archives has had no notice that the copy or phonorecord would be used for any purpose other than private study, scholarship, or research; and
- (2) the library or archives displays prominently, at the place where orders are accepted, and includes on its order form, a warning of copyright in accordance with requirements that the Register of Copyrights shall prescribe by regulation.

(e) The rights of reproduction and distribution under this section apply to the entire work, or to a substantial part of it, made from the collection of a library or archives where the user makes his or her request or from that of another library or archives, if the library or archives has first determined, on the basis of a reasonable investigation, that a copy or phonorecord of the copyrighted work cannot be obtained at a fair price, if-

- (1) the copy or phonorecord becomes the property of the user, and the library or archives has had no notice that the copy or phonorecord would be used for any purpose other than private study, scholarship, or research; and
- (2) the library or archives displays prominently, at the place where orders are accepted, and includes on its order form, a warning of copyright in accordance with requirements that the Register of Copyrights shall prescribe by regulation.

(f) Nothing in this section-

- (1) shall be construed to impose liability for copyright infringement upon a library or archives or its employees for the unsupervised use of reproducing equipment located on its premises: Provided, That such equipment displays a notice that the making of a copy may be subject to the copyright law;

<sup>6</sup> Available from WIPO: [http://www.wipo.int/wipolex/en/text.jsp?file\\_id=338108](http://www.wipo.int/wipolex/en/text.jsp?file_id=338108)



(2) excuses a person who uses such reproducing equipment or who requests a copy or phonorecord under subsection (d) from liability for copyright infringement for any such act, or for any later use of such copy or phonorecord; if it exceeds fair use as provided by section 107;

(3) shall be construed to limit the reproduction and distribution by lending of a limited number of copies and excerpts by a library or archives of an audiovisual news program, subject to clauses (1), (2), and (3) of subsection (a); or

(4) in any way affects the right of fair use as provided by section 107, or any contractual obligations assumed at any time by the library or archives when it obtained a copy or phonorecord of a work in its collections.

(g) The rights of reproduction and distribution under this section extend to the isolated and unrelated reproduction or distribution of a single copy or phonorecord of the same material on separate occasions, but do not extend to cases where the library or archives, or its employee-

(1) is aware or has substantial reason to believe that it is engaging in the related or concerted reproduction or distribution of multiple copies or phonorecords of the same material, whether made on one occasion or over a period of time, and whether intended for aggregate use by one or more individuals or for separate use by the individual members of a group; or

(2) engages in the systematic reproduction or distribution of single or multiple copies or phonorecords of material described in subsection (d): Provided, That nothing in this clause prevents a library or archives from participating in interlibrary arrangements that do not have, as their purpose or effect, that the library or archives receiving such copies or phonorecords for distribution does so in such aggregate quantities as to substitute for a subscription to or purchase of such work.

(h) The rights of reproduction and distribution under this section do not apply to a musical work, a pictorial, graphic or sculptural work, or a motion picture or other audiovisual work other than an audiovisual work dealing with news, except that no such limitation shall apply with respect to rights granted by subsections (b) and (c), or with respect to pictorial or graphic works published as illustrations, diagrams, or similar adjuncts to works of which copies are reproduced or distributed in accordance with subsections (d) and (e).

(Pub. L. 94-553, title I, Sec. 101, Oct. 19, 1976, 90 Stat. 2546; Pub. L. 102-307, title III, Sec. 301,

## Appendix D. Fair Use Checklist

Available: <https://copyright.columbia.edu/content/dam/copyright/Precedent%20Docs/fairusechecklist.pdf>

### Fair Use Checklist

Copyright Advisory Office  
Columbia University Libraries  
Kenneth D. Crews, Director  
<http://copyright.columbia.edu>

Name: \_\_\_\_\_  
Institution: \_\_\_\_\_  
Project: \_\_\_\_\_  
Date: \_\_\_\_\_  
Prepared by: \_\_\_\_\_

### Purpose

#### Favoring Fair Use

- ☐ Teaching (including multiple copies for classroom use)
- ☐ Research
- ☐ Scholarship
- ☐ Nonprofit educational institution
- ☐ Criticism
- ☐ Comment
- ☐ News reporting
- ☐ Transformative or productive use (changes the work for new utility)
- ☐ Restricted access (to students or other appropriate group)
- ☐ Parody

#### Opposing Fair Use

- ☐ Commercial activity
- ☐ Profiting from the use
- ☐ Entertainment
- ☐ Bad-faith behavior
- ☐ Denying credit to original author

**Nature**

**Favoring Fair Use**

- ☐ Published work
- ☐ Factual or nonfiction based
- ☐ Important to favored educational objectives

**Opposing Fair Use**

- ☐ Unpublished work
- ☐ Highly creative work (art, music, novels, films, plays)
- ☐ Fiction

**Amount**

**Favoring Fair Use**

- ☐ Small quantity
- ☐ Portion used is not central or significant to entire work
- ☐ Amount is appropriate for favored educational purpose

**Opposing Fair Use**

- ☐ Large portion or whole work used
- ☐ Portion used is central to or "heart of the work"

**Effect**

**Favoring Fair Use**

- ☐ User owns lawfully purchased or acquired copy of original work
- ☐ One or few copies made
- ☐ No significant effect on the market or potential market for copyrighted work
- ☐ No similar product marketed by the copyright holder
- ☐ Lack of licensing mechanism

**Opposing Fair Use**

- ☐ Could replace sale of copyrighted work
- ☐ Significantly impairs market or potential market for copyrighted work or derivative
- ☐ Reasonably available licensing mechanism for use of the copyrighted work
- ☐ Affordable permission available for using work
- ☐ Numerous copies made
- ☐ You made it accessible on the Web or in other public forum
- ☐ Repeated or long-term use

*Most recent revision: 051408*

## Appendix E. Resources on Copyright

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- Ferullo, D. L. (2011). Copyright and for-profit colleges. *Copyright & New Media Law Newsletter*, 15(1). Retrieved from <http://www.lexisnexis.com/lncui2api/results/shared/controller/permalink.do>
- Ferullo, D. L. (2014). *Managing copyright in higher education: A guidebook*. Rowman & Littlefield Publishers. Retrieved from <http://ebookcentral.proquest.com/lib/audubai/detail.action?docID=1832687>
- Fitzgerald, B. F., & Olwan, R. (2009). Copyright and innovation in the digital age : The United Arab Emirates. In: E Commerce and Intellectual Property Conference, May 2009, UAE University, Abu Dhabi. Retrieved from [https://www.academia.edu/23875523/Copyright\\_and\\_innovation\\_in\\_the\\_digital\\_age\\_The\\_United\\_Arab\\_Emirates\\_UAE\\_?auto=download](https://www.academia.edu/23875523/Copyright_and_innovation_in_the_digital_age_The_United_Arab_Emirates_UAE_?auto=download)
- Gasaway, L. N. (2013). *Copyright questions and answers for information professionals: From the columns of Against the Grain*. West Lafayette, Ind: Purdue University Press. Retrieved from <http://search.ebscohost.com/login.aspx?direct=true&AuthType=ip,uid&db=e000xww&AN=531159&site=ehost-live&scope=site>
- Guide to the *Berne Convention for the Protection of Literary and Artistic Works* (Paris Act, 1971. (n.d.). Retrieved from [http://www.wipo.int/edocs/pubdocs/en/copyright/615/wipo\\_pub\\_615.pdf](http://www.wipo.int/edocs/pubdocs/en/copyright/615/wipo_pub_615.pdf)
- Hansen, P. W. (2009). *Intellectual property law and practice of the United Arab Emirates*. Oxford University Press. Retrieved from <http://ezproxy.aud.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&AuthType=ip,url&db=nlebk&AN=330621&site=eds-live&scope=site>
- International Copyright Basics - RightsDirect. (n.d.). Retrieved February 17, 2018, from <https://www.rightsdirect.com/international-copyright-basics/>
- Oberle, B. (2016). The online archive: Fair use and digital reproductions of copyrighted works. *Southern California Interdisciplinary Law Journal*, 25(3), 1–36.
- Sag, M. (n.d.). The imaginary conflict between fair use and international copyright law. Mathew Sag. Retrieved March 2, 2018, from <http://matthewsag.com/?p=370>
- UAE Ministry of Information and Culture. (n.d.). Federal Law No. (7) of the Year 2002 Concerning Copyrights and Neighboring Rights. United Arab Emirates, Ministry of Information and Culture. Retrieved from <http://www.wipo.int/edocs/lexdocs/laws/en/ae/ae001en.pdf>
- U.S. Copyright Act of 1976, 17. U.S.C. §§ 101 et seq. (consolidated version of December 2011). (n.d.). Retrieved February 25, 2018, from [http://www.wipo.int/wipolex/en/text.jsp?file\\_id=338108](http://www.wipo.int/wipolex/en/text.jsp?file_id=338108)
- U.S. Copyright Office · Library of Congress. (2017). Copyright Basics. Retrieved from <https://www.copyright.gov/circs/circ01.pdf>
- U.S. Copyright Office · The Library of Congress. (2014). Reproduction of Copyrighted Works by Educators and Librarians : Circular 21. Retrieved from <https://www.copyright.gov/circs/circ21.pdf>
- WIPO. (n.d.). WIPO-Administered Treaties: Berne Convention for the Protection of Literary and Artistic Works. Retrieved February 17, 2018, from <http://www.wipo.int/treaties/en/text.jsp>
- WTO. (n.d.). The Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS). Retrieved from [https://www.wto.org/english/docs\\_e/legal\\_e/27-trips.pdf](https://www.wto.org/english/docs_e/legal_e/27-trips.pdf)

<b>COPYRIGHT &amp; FAIR USE RECOMMENDATIONS</b>	
<b>Effective Date</b>	April 2018
<b>Date of Last Update</b>	March 2018

## **POLICY AD-L-04**

### **1.0 Introduction**

This policy is intended to guide the systematic growth and management of the collections of the American University in Dubai Library. The Collection Development Policy should be considered a living document, designed for continuous growth, reflecting changes in the curriculum and in the delivery of academic resources; and reviewed and revised accordingly. Any substantive changes in policy are submitted to the Library Advisory Committee for review, and the Administrative Council for approval.

### **2.0 Goals**

The goal of the AUD Library's Collection Development Policy is to provide a diverse collection of reference and circulating materials, as well as external resources, to support the primary goals of the American University in Dubai: to prepare students for careers in the majors offered by the University while also providing a well-rounded liberal arts education; to promote diversity in the student body and educational programs; and to help students develop critical thinking and other life-long learning skills.

The Library's Collection Development Policy secondary goal is to support the research and staff development needs of AUD faculty and staff.

### **3.0 Description of Users**

The American University in Dubai is a private institution and its collections are available to currently enrolled students, alumni of the university, faculty, staff and their families. Members of the public may apply to use the library and be granted access, under certain circumstances (See "Community Users Policy").

### **4.0 Responsibility for Collection Development**

Collection development, including deselection, is performed in collaboration with faculty, librarians, and the Library Advisory Committee. All members of the library's community of users are invited to submit recommendations.

Librarians consult standard bibliographic tools and other professional selection guides in print and online, to facilitate the selection process. Faculty recommendations are actively solicited and selection materials are disseminated in print and online.

All suggestions are reviewed and evaluated by library staff. Budgetary constraints may require further input from department heads.

The library continues to explore new and evolving collection development practices, including patron driven acquisition.

## **5.0 Collections**

The primary focus of the collection is on areas covered in programs offered at AUD, although other material not directly related to programs will be purchased to provide a diversified collection that supports a liberal arts education and helps students develop critical thinking skills. Local interest materials will also be collected, especially those relating to the culture and history of the area. Materials for new programs and degrees will be added as the programs/degrees are added to the curriculum or degree offerings.

The collection includes formats that continue to be useful to programs, that reflect changes in the delivery of academic content, and that can be supported currently, and in the foreseeable future.

### **5.1 Fiction collections**

Established literary works, prize winning titles and new titles receiving critical literary acclaim are collected.

A limited collection of popular fiction titles are purchased to encourage leisure reading and promote a reading culture. Titles that reflect different genres, topics, and reading levels to meet the varying needs and interests of the community are selected using standard selection tools and recommendations.

A limited selection of graphic novels and award winning young adult and children's fiction are collected, to support academic and language programs, and wider community needs.

### **5.2 Replacement**

Replacement of missing or damaged titles will undergo the same evaluation process as the purchase of new titles.

### **5.3 Duplication**

Given budget and space considerations, duplication of titles, is generally not supported.

### **5.4 Donations**

The library will accept donations that are appropriate and relevant to the collection.

The library does not accept textbooks, periodicals, materials in physically poor condition, or in formats not supported by the library.

Donations are accepted without conditions from the donor, and the library reserves the right to dispose of materials as it sees fit.

### **5.5 Language**

The majority of materials purchased by the library will be in English, although other languages may be purchased if needed, or if of local importance.

Materials in Arabic will be purchased to support the bilingual Communication and Information Studies program and the Middle East Studies Certificate.

Publications in languages other than English and Arabic, except as required by language curriculums, are generally not collected.

## **5.6 Exclusions**

The library's collections are designed to supplement and enhance information given in course textbooks. The library does not purchase textbooks being taught in AUD programs for general circulation. The library may purchase textbooks if they can be shown to serve a need not met by comparable materials.

In addition, the following types of materials are generally not considered for acquisition:

- Specialized technical or research titles beyond the needs of the programs of study;
- Rare materials; and limited editions;
- Formats not accessible or supported by library equipment or facilities;
- Out-of-print materials.

## **6.0 Criteria for selection**

Priority is given to title recommendations that support the following needs, and in order of importance:

- Curriculum of programs of study offered by the University;
- Undergraduate and graduate teaching and course development;
- Faculty and student research;
- Professional information needs of faculty and staff;
- Cultural, general information and recreational needs of the wider University community.

## **7.0 Formats**

AUD Library will endeavor to acquire materials in formats, available, appropriate and relevant to a program of study. As the academic environment continues to evolve, and with a growing predominance of research materials in electronic format, the library's collection growth will reflect this.

### **7.1 Print books and media**

- Authority (reputation of author, contributors, editorial board, publisher, etc.);
- Currency and timeliness (in subject areas where this is applicable);
- Reviews and subject recommendations;
- Lasting value to subject area;
- Relationship of title to existing collection (duplicates or updates, cover gaps, extends breadth and depth of coverage);
- Quality (of illustrations, etc.);
- Format (should be in a format suitable for circulation, does not require equipment no longer maintained in the library, or special storage and maintenance);
- General interest and demand;
- Cost.

### **7.1.1 Preservation of physical collection**

Damaged items may be repaired, replaced or withdrawn, in accordance with the library's replacement and deselection policies.

Materials in bad physical condition and beyond normal repair may be:

- Discarded without being replaced;
- Replaced with another print copy;
- Replaced with a copy in another format;
- Photocopied in total and bound (if out-of-print and reprints are not available) depending on their level of use.

### **7.1.2 Deselection of physical materials**

Deselection or weeding is the review and removal of materials from the library collection and is essential in maintaining a relevant collection that meets the needs of the curriculum, and enhances the reputation of the library.

It is recommended that 5% of the collection be evaluated and weeded annually, where appropriate and necessary (Larson, 2012).

The library uses criteria based on MUSTIE formula for deaccession (Segal, 1980):

- Poor physical condition;
- Subject no longer a part of the curriculum;
- Obsolete information;
- Superseded edition;
- Inappropriate level;
- Duplicate copy, unless demand requires multiple copies;
- Circulation history;
- Age - where currency is vital.

#### **7.1.2.1 Deaccession procedures for physical materials**

Responsibility for weeding the collection is shared by the Director of Library Services, the librarians and the Library Advisory Committee, with input from faculty.

- The Director of Library Services will manage the review process, assigning duties according to workloads and subject expertise.
- Materials will be checked for physical damage and those in poor condition will be repaired, rebound, or replaced if they are determined to be of ongoing value.
- In the areas of science, social science, business, technology, medicine, economics, law, education, engineering, etc., where the fields are in constant change, materials will be evaluated for currency. (H, K, L, Q, R, T).
- Books selected for removal will be withdrawn from the main collection and every effort will be made to permit faculty with expertise in a given field to double check materials before they are discarded.
- Information gaps revealed by the deselection process will be noted and efforts will be made to obtain materials to fill these gaps.
- An annotated list of titles for deselection will be submitted to the President, Deans and Central Services, respectively, for approval.



- Approved titles for deaccession will be removed from the library catalog, and records of deaccessioned titles will be archived for auditing purposes.
- The Central Services Department will manage the storage, donation or disposal of deaccessioned items.
- Library staff are disqualified from receiving deaccessioned material.

## **7.2 Periodicals (individual print & electronic titles)**

Periodicals require continuing commitment in terms of cost and space (print titles), and decisions to select periodicals will be based on the requirements of programs of study and faculty recommendations. General interest titles will be acquired as the budget allows.

The following criteria will be applied in evaluating periodical titles for acquisition:

- Titles identified as core to a program;
- Availability of indexing and finding tools (exceptions to this may occur, particularly in the area of art or local publications);
- Scope, authority and duration of a publication;
- Post-termination access for electronic titles;
- Cost, including annual inflation rates.

New subscriptions should be identified before the start of the new academic year. Periodicals that are published in the United States and Europe are ordered through a third party and subscriptions run from January to December. In most cases, journal requests received after September will not be considered until the following subscription period. An effort is made to maintain the same request/subscription schedule for local periodicals.

The library maintains subscriptions to local and international newspapers in both English and Arabic.

The acquisition of periodicals in electronic format, if available and appropriate, is always preferred. Issues of accessibility, functionality, licensing and post termination access will also be evaluated in determining the purchase of a title.

Print periodicals are circulated and back-files are archived:

- Journal back-files are stored indefinitely as space permits;
- Back-files of print journals covered in electronic format in stable databases, to which AUD Library has access to, may be deaccessioned;
- Magazines and newspapers are kept for limited periods: generally, newspapers are kept for two months, and magazines are kept for one calendar year, as space permits.

### **7.3 Electronic Resources**

In addition to the criteria that apply to the selection of print sources, best practice identified by the International Federation of Library Associations (Johnson, 2012), will be considered in the acquisition of electronic resources:

- Technical feasibility;
- Functionality and reliability;
- Vendor support;
- Supply;
- Licensing;
- Continued access, post termination of subscription.

#### **7.3.1 eBooks (owned)**

The acquisition of eBooks is subject to the same selection criteria as print editions but additional criteria for assessment include:

- Licensing agreement provisions (assess for restrictions and limitations in use);
- Accessibility over print version (multiple, simultaneous access, DRM limitations, file format);
- Compatibility with relevant technology and discovery platforms in use by the library;
- Availability of remote access via IP authentication;
- Availability via the library's licensed vendors;
- Perpetual access platforms;
- Cost compared to print edition.

To conserve shelf space, increase access and immediacy, offset physical processing costs, and when available and appropriate, the library will consider the electronic edition of a title.

Duplication of print and an owned electronic version is avoided, unless there is justification for both formats.

#### **7.3.2 eJournals (individual titles)**

See 7.2

#### **7.3.3 Subscription databases**

AUD Library provides access to electronic resources available by subscription. Subscription databases provide access to a range of resources including collections of articles, reports, data sets, images, video footage, and eBooks, and are cost effective in providing users with a wide title and subject coverage.

- A consideration in the acquisition of online databases is that they are generally expensive, titles are not owned by the library, commercial vendors may drop titles depending on their evolving relationship with publishers and/or have embargos on current issues of serials.
- In addition to assessing cost, licensing, accessibility and compatibility issues of an electronic resource, the library will also arrange a trial of the proposed online database.
- Feedback to support new subscriptions will be solicited and documented.

#### **7.4 Renewal of subscriptions**

Subscriptions are evaluated sufficiently in advance of renewal dates to determine whether they continue to be relevant and provide value for money.

Evaluation criteria are based on best practice (Johnson, 2012) and include:

- Usage statistics
- How effectively the resource has been promoted to the community;
- Available training and/or documentation to support use of the resource;
- Reliable access to the resource over the period covered by the usage data;
- Resource importance to subject area.

Other considerations in evaluating renewals include changes in access provision, pricing, license, and content.

#### **8. Inter-Library Loan and Document Delivery**

Academic libraries have limited resources to collect comprehensively in all subject areas and resources not found in the library collection, and when available, may be obtained through interlibrary loan. The service is intended to fulfil short-term research needs and is offered to faculty and graduate students.

Materials for loan are available at the discretion of the lending library.

Due to the cost of this service, the library may when necessary, restrict the number of orders submitted per user.

#### **9. Other Collection Development Strategies**

Regional consortiums that support resource sharing and provide cost effective collection development are explored.

The library will support open access repository initiatives that promote and archive institutional and quality and/or peer-reviewed scholarly communication.

#### **10. Library Advisory Committee**

The Library Advisory Committee is responsible for providing advice and recommendations in the development of collections and access to resources, and supports the library in meeting the goals of the curriculum, and the related needs of the faculty, students, staff and wider community.

The Committee is composed of nominated faculty members representing the University's schools, and librarians who serve as library liaisons for the different units. Committee members generally serve for one academic year.

The Committee meets each semester with the date and time decided by the Director of library Services.

## **11. Library Liaison Service**

School liaison librarians collaborate with faculty in building collections specific to the needs of a program and are responsible for:

- Assessing existing library collections in their subject areas and in relation to programs of study;
- Identifying collection development tools specific to their subject areas;
- Soliciting and compiling requests from relevant faculty;
- Identifying, evaluating and promoting titles, including appropriate open access resources, in assigned subject areas;
- Placing orders accordingly.

## **12. Intellectual Freedom**

The AUD library follows the policies and guidelines of the American Library Association as they relate to the AUD community. The collection supports a liberal arts curriculum and promotes diversity, however titles that are considered culturally sensitive, but necessary for research and a balanced collection, are stored in a closed collection and are available to graduate students and faculty on request.

In subscribing to academic online databases (articles, images, streaming video, eBooks, etc.) the library cannot anticipate the addition of titles that may be considered inappropriate or challenge cultural values. Where possible, and should a justifiable objection be raised, the library will contact the appropriate vendor and lodge a request for removal.

## Appendix A: Discipline-Specific Deselection Criteria

The following table is extracted from the South Texas College Library's "Collection Development Practices" (College, 2012)

Discipline	Years Since Published	Other
<b>General Works</b>	>20	Encyclopedias become obsolete in about 5 years.
<b>Psychology</b>	>20	Developments may render some works obsolete sooner.
<b>Philosophy &amp; Religion</b>	X	Keep as long as the item is fit to circulate.
<b>History</b>	X	Keep as long as the item is accurate and fit to circulate.
<b>Social Sciences – Anthropology</b>	>20	Developments may render some works obsolete sooner
<b>Kinesiology / Physical Education</b>	>20	Developments may render some works obsolete sooner.
<b>Business &amp; Economics (BAT- TMGT)</b>	>10	Business directories and almanacs become obsolete sooner.
<b>Social Sciences - Sociology</b>	>10	Developments may render some works obsolete sooner.
<b>Government</b>	>10	Developments may render some works obsolete sooner.
<b>Criminal Justice &amp; Law</b>	>10	Developments may render some works obsolete sooner.
<b>Education</b>	>10	
<b>Creative Arts-Music</b>	X	Keep as long as the item is fit to circulate.
<b>Creative Arts-Fine Arts</b>	X	Keep as long as the item is fit to circulate
<b>Communications</b>	>20	Developments may render some works obsolete sooner.
<b>English</b>	X	Keep as long as the item is fit to circulate.
<b>Development English, Reading, &amp; College Success</b>	X	Keep as long as the item is fit to circulate.
<b>Foreign Languages &amp; Humanities</b>	X	Keep as long as the item is fit to circulate.
<b>Children's Materials</b>	X	Keep as long as the item is fit to circulate.
<b>Computer Science (BAT-CIT)</b>	>10	Developments may render some items obsolete earlier.
<b>Math</b>	>20	Replace books that focus on outdated teaching methods.
<b>Development Math</b>	>20	Replace books that focus on outdated teaching methods.
<b>Physical Sciences</b>	>20	Developments may render some works obsolete sooner.
<b>Biology</b>	>20	Developments may render some works obsolete sooner.
<b>Health Sciences</b>	>10	Developments may render some works obsolete sooner.
<b>Agriculture</b>	>20	Developments may render some works obsolete sooner.
<b>Technology</b>	>20	Developments may render some works obsolete sooner.
<b>Military Science</b>	X	Keep as long as the item is fit to circulate.
<b>Naval Science</b>	X	Keep as long as the item is fit to circulate.
<b>Bibliography / library Science</b>	>20	Developments may render some works obsolete sooner.

## Appendix B. IFLA e-Resource Acquisition Checklist

The following list is extracted from IFLA's resource, "Key Issues for e-Resource Collection Development: A Guide for Libraries."

**Technical feasibility** - including, but not limited to:

- a) Availability, e.g. remote access, stand-alone access.
- b) Authentication, e.g., IP [Internet Protocol] filtering or login password.
- c) Hardware and software compatibility and capability.
- d) Storage and maintenance, e.g., remote hosting v. local hosting.
- e) Platforms which facilitate access to e-resources.

- **Functionality and reliability** – including but not limited to:

- a) Search and retrieval functionality, e.g., truncation, browsing, search history, transliteration.
- b) Exporting and downloading, e.g., printing, e-mail, downloading to a machine, and downloading to an electronic device.
- c) Sorting and ranking abilities for database results. For example: author, title, date, relevancy, facets, etc.
- d) Interface, e.g., system intuitiveness, navigation, help and tutorials.
- e) Integration.
- f) Reliability and availability, e.g., response times, 24/7 access.

- **Vendor support** – including but not limited to:

- a) User training and support.
- b) Trials and product demonstrations.
- c) Technical support and system notification process.
- d) Statistical reporting.
- e) Customization, e.g., branding.
- f) Provision of bibliographic data, e.g., MARC records.
- g) Data security and archiving policies.

- **Supply** – including but not limited to:

- a) Purchase model, e.g., purchase, subscribe, pay per view, rental.
- b) Pricing models, e.g., selective v. big deal.
- c) Access options, i.e. single user, multiple users.
- d) Archiving and post termination rights.
- e) Maintenance fees.
- f) Cancellation rights.

- **Licensing** – including but not limited to:

- a) Model/Standard license.
- b) Governing laws.
- c) Liability for unauthorized use.
- d) Definition of authorized users.
- e) Definition of authorized sites.
- f) Fair Dealing (or "Fair Use") Provision.
- g) Termination.
- h) Refunds.
- i) Period of agreement.
- j) Compliance with the governing laws of the library's or consortium's legal jurisdiction (province, state, country).
- k) Language of the license.

## References

College, S. T. (2012). Collection Development Practices. Retrieved from South Texas College Library: <https://library.southtexascollege.edu/wp-content/uploads/2013/12/colldev.pdf>

Johnson, S. e. (2012). *Key Issues for e-Resource Collection Development: A Guide for Libraries*. Retrieved from IFLA: Acquisition and Collection Development Section:

[https://www.ifla.org/files/assets/acquisition-collection-development/publications/IFLA\\_ELECTRONI](https://www.ifla.org/files/assets/acquisition-collection-development/publications/IFLA_ELECTRONI)

Larson, J. (2012). *CREW Manual: A Weeding Manual for Modern Libraries*. Austin, Texas: Texas State Library & Archives Commission.

Segal, J. P. (1980). *Evaluating and Weeding Collections*. Chicago: American Library Association.

## Other Resources

"Guidelines for a Collection Development Policy using the Conspectus Model." International Federation of Library Associations and Institutions: Section on Acquisition and Collection Development, 2001. <https://www.ifla.org/files/assets/acquisition-collection-development/publications/gcdp-en.pdf>

"Standards for Libraries in Higher Education." Association of College and Research Libraries, American library Association, 2011. <http://www.ala.org/acrl/sites/ala.org.acrl/files/content/standards/slhe.pdf>

<b>STUDENT USE OF TECHNOLOGY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-T-01**

### **PURPOSE**

The purpose of this policy is to establish guidelines for the proper use of technology by AUD students.

### **POLICY**

The American University in Dubai provides information technology resources to faculty, staff and students for the purpose of furthering and assisting the academic goals of learning, teaching and research. Use of computing and network resources is limited to members of the American University in Dubai community. Users of these resources are expected to act responsibly to maintain the integrity of university computer and network resources. As members of the American University in Dubai community, all users have the responsibility to use computing and network resources in an effective, efficient, ethical and lawful manner. Ethical standards, which apply to other university activities (Honor Code, Academic Honesty, Student Rights and Responsibilities, and all local, federal and international laws), apply equally to use of the university's computing facilities.

Information technology resources include all university-owned computers, peripherals, and related equipment and software; voice and data communications infrastructure, all other associated tools, instruments, and facilities; and the services that make use of any of these technology resources. AUD computing and network resources must not be used to produce, view, store, replicate, or transmit harassing, obscene, or offensive materials. This includes, but is not limited to, material from the Internet, screen savers, etc. In addition, printed copies of such material, including those from magazines, are not permitted to be distributed. There is zero tolerance for any student, faculty or staff who violates this policy; and immediate dismissal may result.

University e-mail services shall not be used for purposes that could reasonably be expected to cause directly, or indirectly, excessive strain on computing resources or unwarranted and unsolicited interference with use of e-mail or e-mail systems. Engaging in any use that would interfere with another student's and/or employee's work or disruption of the intended use of network resources is prohibited.

Anyone accessing or utilizing university computer systems, related data files, and information shares the responsibility for the security, integrity, and confidentiality of information. Penalties for misuse of AUD's Information Technology Resources are to be determined by the Dean/Program Chair following consultation with the President.



## PROCEDURE

Students are responsible for reporting any activities that they believe to be in violation of this policy, just as students are responsible for reporting Honor Code violations.

### Individual Responsibilities

- Computing resources are intended for the pursuit of academic objectives and should not be used for commercial gain, unsolicited advertising or personal entertainment.
- Students may not authorize anyone to use their login accounts for any reason. Students should take reasonable precautions, such as password maintenance and file protection measures, to prevent use of their account by unauthorized persons. Students should not share their password with anyone. Passwords should be changed regularly.
- Copying, storing, displaying, or distributing copyrighted material using University computing resources without the express permission of the copyright owner, except as otherwise allowed under the copyright law, is prohibited.
- Users must not attempt to circumvent or subvert any system security measures in any way to infiltrate the system, or use AUD information technology resources to attempt to infiltrate other systems. This includes using any computer program or device to intercept or decode passwords or similar access control information.
- Any actions that unduly interfere with the work of other users or computer systems, or that result in the loss of a user's work are unacceptable. This includes any actions on the Internet that may cause congestion of the network.
- Users must not place software, data, or other files on any AUD computer or server without being authorized to do so.
- Students are provided with an individual secure network storage on the file server to save their work files, known as your U: drive. It is the responsibility of students to have a backup of their data and coursework on a personal data storage medium at the end of the semester. (Such as External Hard Disks, USB flash drives, or CD/DVD disks).

### Student-Owned Laptop Computers

Students are permitted to use personal notebook computers on the university network in furtherance of their academic studies, under the following conditions:

- Note book computers shall be connected to the university network in designated locations only. Designated locations include dedicated laptop labs, specific network ports in the library, and other locations as specified by the IT Services Department. Student shall not disconnect or otherwise disturb any university-placed computer such that it becomes disconnected from the university communications network.
- Any computer connecting to the university network must have:
  - Licensed virus protection software, including an active update subscription and automated updates.
  - All the critical operating system updates, including the latest software patches.

- It is the student's responsibility to purchase, install and maintain all software necessary to meet these requirements.
- Use of peer-to-peer file sharing software, such as LimeWire, *uTorrent*, *Bittorrent*, *eDonkey* or any other similar software commonly used in the illegal distribution of copyrighted materials, is prohibited.
- Any costs incurred in meeting the above conditions are the sole responsibility of the student.
- Students are responsible for protecting their computer resources by installing a personal firewall and an anti-virus program.

### **Systems Monitoring**

The university reserves the right to monitor computer and network system activities at any time. Only designated staff of Information Technology Services have authorization to engage in systems monitoring.

### **Privacy**

All individuals are required to respect the privacy of other authorized users, including security of files, confidentiality of data, and the ownership of their own work. Nonetheless, in order to enforce the policies of the university, designated Information Technology Services staff are permitted to monitor activity on local computer systems.

### **Disciplinary Actions**

Use of the university's computer resources is a privilege, not a right. Any violation of university computer usage policies will be investigated. Substantiated violations will be prosecuted and may result in termination of access, disciplinary review, dismissal, or other disciplinary action.

### **Email Services**

University email services shall not be used for purposes that could reasonably be expected to cause directly, or indirectly, excessive strain on computing resources or unwarranted and unsolicited interference with others' use of email or email systems. Engaging in any use that would interfere with students' and employees' work or disruption of the intended use of network resources is prohibited. Examples of interference include but are not limited to:

- Sending or forwarding chain letters;
- "Spamming", that is, exploitation of email, list servers or similar broadcast systems by sending unsolicited emails over the Internet to others. Spamming overloads network resources and causes disruption in the distribution of electronic messages;
- "Mail Bombing", resending the same email repeatedly to one or more recipients to interfere with the recipient's use of email.

Email services should be used responsibly.

## **Internet Services**

Students may access the Internet through computers in university computer labs, through personal laptops connected to the university's network and through wireless network access points provided in designated locations and student dormitory. Student access to the Internet conforms to the laws of the United Arab Emirates, including the monitoring and filtering of Internet content. Any attempt to circumvent or disable Internet access controls set by the university or the government of the UAE is a violation of university policy and will result in disciplinary action.

## **Student Housing/Access to the Internet**

Wireless Internet access are provided in dormitory rooms for student residents. Internet services to the dorms are provided using an independent circuit from our service provider. Students are required to conform to all usage policies as defined by the university and the Service Provider. Misuse and/or abuse will result in disciplinary action.

All computers must conform to the university's policy for student-owned computers (See requirements under Student-owned Laptop/Notebook Computers). The university reserves the right to monitor or physically inspect all computers. Students not meeting university requirements will be disconnected from the network.

Students are advised they are responsible for protecting their own computer resources. The university recommends students install and use a personal firewall.

## **Information Technology Services**

The Information Technology Services (ITS) staff are on site during normal business hours to assist faculty, students, and staff with all technology-related issues "in support of" the curriculum. Note, however, that since this curriculum is technology-focused, there is a fine line between those issues that are in support of the curriculum and those which are specific curriculum assignments (which should not be answered by ITS staff members).

Examples:

I can't access my email.      Contact ITS

I'm trying to join two tables in MS Access.      Contact Faculty

I can't connect to the Internet from school.      Contact ITS

I can't connect to the Internet from outside school.      Contact your ISP

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** UG Catalog, GR Catalog, Student Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	Individual Responsibilities	Individual secure network storage on the file server
17-03-2018	Student-Owned Laptop Computers	Updated terminology with reference to software

<b>FACULTY AND STAFF USE OF TECHNOLOGY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-T-02**

### **PURPOSE**

The purpose of this policy is to establish guidelines for the proper use of technology by faculty and Staff.

### **POLICY**

The American University in Dubai provides information technology resources to faculty, staff and students for the purpose of furthering and assisting the academic goals of learning, teaching and research. Use of computing and network resources is limited to members of the American University in Dubai community. Users of these resources are expected to act responsibly to maintain the integrity of university computer and network resources. As members of the American University in Dubai community, all users have the responsibility to use computing and network resources in an effective, efficient, ethical and legal manner. Ethical standards, which apply to other university activities, apply equally to use of the university's computing facilities.

Information technology resources include all university-owned computers, peripherals, and related equipment and software; voice and data communications infrastructure, all other associated tools, instruments, and facilities; and the services that make use of any of these technology resources. AUD computing and network resources must not be used to produce, view, store, replicate, or transmit harassing, obscene, or offensive materials. This includes, but is not limited to, material from the Internet, screen savers, etc. In addition, printed copies of such material, including those from magazines, are not permitted to be distributed. There is zero tolerance for any student, faculty or staff who violates this policy; and immediate dismissal may result.

University e-mail services shall not be used for purposes that could reasonably be expected to cause directly, or indirectly, excessive strain on computing resources or unwarranted and unsolicited interference with use of e-mail or e-mail systems. Engaging in any use that would interfere with another student's and/or employee's work or disruption of the intended use of network resources is prohibited.

Anyone accessing or utilizing university computer systems, related data files, and information shares the responsibility for the security, integrity, and confidentiality of information. Penalties for misuse of AUD's Information Technology Resources are to be determined by the Dean/Program Chair or the employee's supervisor, following consultation with the President.

## **PROCEDURE**

It is the responsibility of each faculty and staff member to ensure their use of the AUD campus network does not adversely affect the integrity of the university computer and network resources. This includes taking steps necessary to prevent computer viruses, Trojans and other malware from entering the university computer network from their computer.

Faculty and staff wishing to connect their personal computer or laptop to the AUD network are required to take the common steps for protecting computers from viruses and other malware. The university requires that each computer must have the following installed and operating at industry-recommended levels:

- Anti-virus software, including a valid update subscription
- Latest operating system security patches and critical updates

It is also recommended that a personal firewall is installed on the computer. This is particularly important for faculty and staff living off campus; as Etisalat, DU and other ISP networks are prime sources of virus infections. Those living on-campus are protected by the AUD campus firewall.

Costs for purchasing and updating software are the sole responsibility of the individual. The university reserves the right to deny network access to any computer not meeting the standards of this policy. Personal computers that do not meet these requirements will be disabled from the network until proof of compliance is provided.

## **User Responsibility**

Users must not disclose their access codes/passwords to anyone and will be responsible for any use of their accounts by others to whom access has been given. Users should change their passwords periodically to prevent unauthorized use of their accounts.

The Administration and Student networks are separate. Students are not authorized to access the administration computer network under any circumstances. Faculty must never provide access to students to the administration network, either inadvertently or intentionally. Always use a password-protected screensaver or log off when leaving your computer unattended.

Users are to refrain from accessing and or making public to any university users' obscene materials or direct links to obscene locations elsewhere on the Internet through the Worldwide Web, Gopher, or any other systems.

It is the responsibility of all users of computing resources to notify Information Technology Services about violations of computer laws and policies, as well as about potential loopholes in the security of its computer systems and networks. The user community is expected to cooperate with ITS in its operation of computer systems and networks as well as in the investigation of misuse or abuse. Should the security of a computer system be threatened, user files may be examined under the direction of the appropriate authority.

**Liability**

In no event shall The American University in Dubai be liable for any damages, whether direct, indirect, special or consequential, arising out of the use of the Internet, accuracy or correctness of databases or information contained therein or related, directly or indirectly, to any failure or delay of access to the Internet. Use of any information obtained via the Internet is at the users' own risk. The American University in Dubai reserves the right to remove a user account on the network to prevent further unauthorized activity as specified in this document.

**Personal Use of Computer Technology**

The use of AUD's resources and services for non-official purposes is permitted only in compliance with the following criteria:

- The cost to AUD must be negligible;
- The use must not interfere with an AUD employee's obligation to carry out university duties in a timely and effective manner;
- Time spent engaged in the non-official use of AUD resources is not considered to be AUD work time;
- The use must in no way undermine the use of AUD resources and services for official purposes;
- The use neither expresses nor implies sponsorship or endorsement by AUD;
- The use must be consistent with state and federal laws regarding obscenity, libel, or the like, and state and federal laws and the American University in Dubai policies regarding political activity, the marketing of products or services, or other inappropriate activities.

In applying these guidelines, each case will depend upon the particular circumstances and other important factors such as materiality or reasonableness. The ultimate control, therefore, lies with each employee's supervisor, as that person should have direct knowledge of the behaviors and needs of the individual employee. Faculty members are therefore advised to consult with their respective supervisors about the accepted level of personal use during regular office hours.

Employees should consult with their supervisors in advance if they have any questions about appropriateness of certain practices. A supervisor's decision cannot, however, circumvent other policies and procedures of the American University in Dubai that may restrict personal use beyond the limitations cited in these guidelines. For example, the use of AUD telephones, fax machines, mail services, and vehicles must comply with existing American University in Dubai policies

## Information Technology Services

The Information Technology Services (ITS) staff are on site during normal business hours to assist faculty, students, and staff with all technology-related issues “in support of” the curriculum. Note, however, that since this curriculum is technology-focused, there is a fine line between those issues that are in support of the curriculum and those which are specific curriculum assignments (which should not be answered by ITS staff members).

### Examples:

I can't access my email.	Contact ITS
I'm trying to join two tables in MS Access.	Contact Faculty
I can't connect to the Internet from school.	Contact ITS
I can't connect to the Internet from outside school.	Contact your ISP

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	All Sections	Updated terminology and reference to software/hardware



<b>SOFTWARE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-T-03**

### **PURPOSE**

The purpose of this policy is to: (1) establish standards of conduct with respect to software acquisition, copying, transfer and use, (2) inform users of software misuse, and (3) set forth disciplinary procedures for such misuse.

### **POLICY**

This policy applies to all software acquired by or on behalf of American University in Dubai (wherever used) and all software (however acquired) used on the American University in Dubai Resources. "Resources" means American University in Dubai computers, computer systems, networks, facilities, equipment, software, files, documentation, accounts, and information associated with any of them.

Any User who violates the Software Policy will be subject to suspension or revocation of his/her computer account, disciplinary action. Disciplinary procedures include suspension, dismissal, and/or civil or criminal prosecution under federal and/or state law. Noncompliance with certain provisions of the Software Policy may also constitute a violation of federal and/or state law. Penalties under such laws include fines, orders of restitution, and imprisonment.

Each User is individually responsible for reading, understanding and adhering to all licenses, notices and agreements in connection with Software which he or she acquires, copies, transmits or uses or seeks to acquire, copy, transmit or use. Unless otherwise provided in the applicable license or contract document, any duplication of copyrighted software, except for backup and archival purposes, may be a violation of federal and state law. In addition to violating such laws, unauthorized duplication of software is a violation of the Software Policy and the American University in Dubai Computer Usage Policy.

When a User's legitimate activities in the fulfillment of AUD's Mission dictate a need for AUD's acquisition of software not already licensed to AUD or additional copies of licensed software, the User shall complete an Online *Purchase Requisition Form* and submit it to the Department Head for appropriate approval.

All software acquired for or on behalf of AUD or developed by AUD employees or contract personnel on behalf of AUD is and shall be deemed AUD Property.

No User may sell, rent, sublicense, lend, transmit, distribute, give or otherwise convey or make available Software or an interest therein to any unauthorized individual or entity.

## PROCEDURE

All software acquired by the American University in Dubai must be processed through and registered by Information Technology Services. Software must be registered in the name of AUD and department in which it will be used. Software must never be registered in the name of the individual user. Only licensed software owned by the university is permitted to be installed on university owned computers. Software required by faculty but not presently available at the university should be requested through the faculty's School Dean/Program Chair. Personal and unlicensed software is not permitted.

Freeware software is copyrighted software that is distributed freely through the Internet, bulletin boards and other on-line systems. Only Freeware software that has been approved by ITS may be used on AUD computers. This policy assures all the freeware will work appropriately on the network and will not interfere with the operation of other critical applications. If a package is not available, you can request that ITS review the package for inclusion on the approved list.

The American University in Dubai and its agents shall have the right to audit all Resources to ascertain compliance with the American University in Dubai Software Policy. The American University in Dubai may permit the Software Licensors and their agents to audit some or all Resources to ascertain compliance with their license, purchase, or other applicable agreements.

Any User who suspects an incident of noncompliance with the Software Policy by another User or has questions about Software use or the Software Policy shall promptly refer the question to the Manager of Information Technology Services.

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	All Sections	Updated terminology and reference to software/hardware

IT ACCESSIBILITY AND IMPROVEMENT PLAN POLICY	
Effective Date	Fall 2008
Date of Last Update	February 28, 2019

## POLICY AD-T-04

### PURPOSE

The purpose of this policy is to provide the standards for maintenance and the schedules for replacement and upgrading of AUD's information technology hardware and software.

### POLICY

The American University of Dubai (AUD) does not possess unlimited computer resources. Computing resources are finite and are allocated within the academic and administrative spheres based on requirements, budget and resources available. Allocation and maintenance of computer resources is the responsibility of the Manager of IT Services.

Computing resources are purchased and allocated by the Manager, IT Services based on discussions with and instructions from AUD's President, Executive Vice-President, Academic Council, and Faculty Chairs. This policy is reviewed and updated annually.

### PROCEDURE

#### Academic (Teaching and Student Labs)

Computing labs are located throughout the University for specific and general-purpose access. There are presently 22 specialty labs and 4 general-purpose labs equipped with Intel- based PCs plus 5 specialty labs with Apple Macintosh computers.

Computing hardware is allocated to specialty and general-purpose labs with consideration for software and performance requirements defined by the Academic Council and Faculty Chairs. AUD attempts to replace computers on a three to four-year cycle; however, this cycle may be shorter or longer dependent upon requirements and available budget.

Software allocation to computers and computer labs will vary according to the specific needs of academic programs and departments. AUD provides a basic suite of software on all Intel computers that consists of:

- Windows 10 operating system
- eScan anti-virus protection
- Microsoft Office 2016 Professional suite
- Google Chrome & Firefox

Additional software and tools are provided as required by curriculum and faculty requests, at the discretion of the university.

Only AUD approved and licensed software may be installed on AUD computers. Any unlicensed or non-approved software will be removed by IT Services staff, and may be removed without notice. It is the responsibility of faculty to remind students of their responsibility for the proper use of AUD computer resources, as published in the General Policies, Electronic Communications section of the AUD Student Handbook.

### **Administration and Faculty (Offices)**

All full-time faculty and staff are provided with a Desktop computer located in their office or workspace for the sole purpose of conducting university business.

Computing hardware is allocated to faculty and staff with consideration for software and performance requirements defined by their department heads or faculty chair. Software is allocated to faculty and staff based on need. AUD provides a basic suite of software on all faculty and staff computers. Additional software and tools are provided at the discretion of the university.

Only licensed software may be installed on AUD computers. Faculty and staff are reminded of the Acceptable Use of Computing and Network Resources Policy and the Software Policy as stated in the Faculty Handbook.

### **Evaluation and Review**

- Hardware and software requirements are evaluated annually as a component of the university's budget preparation and planning processes.
- Additional evaluations and reviews may occur at any time at the discretion of AUD management.
- Decisions are guided by application of the AUD Information Technology Upgrade and Replacement Plan ([Appendix 1](#)).
- IT conducts an annual review of existing technology, applications, and equipment under its purview to determine their currency, potential discontinuance internally or externally and the internal capacity to maintain such services and technologies.

### **IT Priorities and Activities/Projects**

Based on the latest annual review, below are the IT priorities and projects:

#### **List of priorities**

- Implementation of digitization of paper records and automation of manual workflows, including electronic signatures.
- Develop and implement a cyberinfrastructure plan to enhance AUD infrastructure, from the campus network to cloud-based computing resources.
- Implement learning platforms to support anywhere, anytime by a diverse, global community in a safe environment.

### **Activities / projects**

- Deployment of Endpoint Detection and Response (EDR) technology for continuous monitoring and response to advanced threats.
- Implement disaster recovery to the cloud by using Microsoft Azure recovery service.
- Migrate existing Microsoft Exchange on-premises mailboxes to Office 365.
- 
- Implementation of Microsoft Dynamic AX365 for Finance, HR and Procurement functions.
- Implementation of constituent relationship management (CRM) solution for the Admission department to supports constituent engagement across institution.
- Provides Office 365 access to Students, Faculty and Staff to use Office tools, conferencing, and more IT services that are hosted in the Cloud (managed remotely on servers owned by Microsoft).

## **AUD INFORMATION TECHNOLOGY UPGRADE AND REPLACEMENT PLAN**

### **Introduction**

The purpose of this document is to provide formal guidelines for the evaluation and replacement of the information technology assets of the American University in Dubai (AUD).

These guidelines are based on present industry best practices. University and user requirements are the key drivers. It is recommended that these guidelines be reviewed annually and updated as required.

### **Scope**

The scope of this document is all the information technology and computer hardware and software assets of AUD. This includes, but is not restricted to, routers, switches, servers, desktop computers, operating systems and software owned and in use at AUD.

### **Assumptions and Limitations**

All information technology assets have a life span. The life span of an asset is affected by many variables, some predictable and some unpredictable. Recommendations that specify a time frame are approximate.

The AUD Life Span of each resource is influenced by:

1. Changes in the Information Technology industry
2. Variations in the requirements of AUD
3. Minimum and recommended configurations as defined by manufacturers and vendors.
4. Availability of hardware, software and replacement parts

## **Hardware**

### **Security components**

Security components include firewalls, routers, switches and any network appliance that provides or enhances the security of the network from external or internal attacks.

- Each hardware component shall be evaluated at least once per year against latest industry standards.
- All firmware shall be updated promptly to the latest recommended version, based on advice provided by the manufacturer or manufacturer's official representative.
- Discontinued equipment should be replaced within one year of the manufacturer's announcement. A decision to replace may be delayed where industry assessment determines risk is low.

### **Network components**

Network components include routers, switches, hubs and other network appliances that aid in the transmission of data from one place to another.

- Each hardware component shall be evaluated at least once per year against latest industry standards.
- All firmware shall be updated to its latest recommended version annually.
- Network hardware should be replaced every three (3) to five (5) years.

### **Servers**

The industry expected life cycle for an Intel processor server is three (3) years.

- Intel- based servers should be evaluated yearly on the basis of performance, demand, capacity and compatibility.
- Older servers that are still functional should be deployed downward to support simpler tasks.

### **Desktop Computers and Workstations**

Desktop computers and workstations includes any PC or MAC computer used by faculty or staff in support of their regular office functions, PC computers located in student labs and MAC computers located in the Visual Communications lab.

Industry obsolescence for a PC processor chip is 18 months to 2 years. The industry expected life cycle for a desktop computer is three (3) years.

- Desktop computers should be evaluated yearly on the basis of performance, demand, capacity and compatibility.
- The university expects to replace desktop computers and workstations every three (4) to four (5) years.
- Desktop computers should be replaced at a rate of approximately 30 percent per year. The actual replacement schedule is driven by the yearly evaluation.

## **Printers and other peripherals**

Printer and peripheral life spans are generally based on use. Every peripheral has a life span, beyond which the cost of maintenance exceeds the cost of replacement.

- Printers shall be evaluated yearly on the basis of required maintenance, service demand, capacity and compatibility.
- Equipment for which the cost of repair is more than 60 percent of the cost of replacement should be replaced upon breakdown.
- Equipment for which parts are no longer available should be replaced within one year of the vendor's announcement.

## **Software**

### **Security components**

Security components include all that provides or enhances the security of the network from external or internal attacks. These included but are not limited to: firewall software, intrusion detection, encryption, and virus detection programs.

- Each software component shall be evaluated at least once per year against latest industry standards.
- All service packs and security hot fixes shall be updated within industry- recommended time frames of the tested update release. Beta security packs and hot fixes shall only be installed when they address severe threats to the integrity or security of the university's computer assets.
- Discontinued software shall be replaced within one year of the vendor's announcement.

### **Network components**

Network components include routers, switches, hubs and other network appliances that aid in the transmission of data from one place to another.

- The software for each component shall be evaluated at least once per year against latest industry standards.
- All service packs, enhancements and security hot fixes shall be applied promptly, on advice provided by the manufacturer or manufacturer's official representative. Beta (un-certified) security packs and hot fixes shall only be installed when they address severe threats or operational issues of the network.

### **Servers**

Server software includes operating systems, network operating systems, administration tools and other software critical to the operation of a secure and dependable network.

- Software shall be evaluated at least once per year against latest industry standards.
- All security hot fixes shall be updated within one week of the release of the tested update. Beta (un-certified) security packs and hot fixes shall only be installed when they address severe threats or operational issues of the network.
- Service packs and enhancements should be updated within two months of the release of the tested update. Service pack installation may be delayed when industry reviews indicate unreliability or other concerns regarding installation of a service pack.

## Desktop Computers and Workstations

Desktop computers and workstations includes any PC or MAC computer used by faculty or staff in support of their regular office functions, PC computers located in student labs and MAC computers located in the Visual Communications lab.

The industry life cycle for a PC software upgrades is one (1) to two (2) years.

- All software changes and updates shall be validated against the requirements of the university's programs and administrative needs.
- Service packs and enhancements should be updated within one month of the release of the tested update. Service pack installation may be delayed when industry reviews indicate unreliability or other concerns regarding installation of a service pack.
- Installed software products should remain no more than one (1) version behind the latest available version for that product.

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** Internal Policy

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	Procedure	Updated terminology and reference to software/hardware
17-03-2018	IT Priorities and Activities/Projects	Priorities
11-06-2018	Procedure	Added a statement to indicate variation in software allocation
28-2-2019	Evaluation and Review	Included a reference to obsolescence



<b>BLACKBOARD POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-T-05**

### **PURPOSE**

The purpose of this policy is to establish guidelines for the proper use of Blackboard.

### **POLICY**

Blackboard is AUD's Web-based online learning and teaching system that provides tools for online course, assignment and content management. It allows students and lecturers to communicate using Discussion Forums, Announcements, Virtual Chat and email. The live web address for Blackboard is: <http://ecourses.aud.edu>

Users Login Accounts: Faculty members and students should contact [ITHelpDesk@aud.edu](mailto:ITHelpDesk@aud.edu) to obtain a username and password for the system.

Courses: All official courses of The American University in Dubai are automatically provided course space on Blackboard.

### **Instructor Responsibilities**

Instructors will:

- Administer their own course(s), including academic related design, creation and upload of course content, and backups;
- Perform routine "Beginning of Semester" tasks which may include, but are not limited to: design, build, and upload content;
- Verify class roster; inform students how to access the course; inform students of your expectations concerning Blackboard; create backups;
- Archive your course for backup purposes as often as deemed appropriate while the course is active AND at the end of the semester! Even though there are whole system backups, these are only for recovery from catastrophic system failures. Individual courses need to be backed up by the instructor periodically;
- Perform routine "End of Semester" tasks which may include, but are not limited to: download student work/content; create a full archive of your course; remove any content not desired.

### **IT Services Responsibilities**

IT Services will:

- Oversee course and user management, configure institution properties and system settings, and communicate important information to users as needed;
- Backup daily for the express purpose of whole system recovery from a disaster.
- Recovery of an individual course can NOT be obtained from these administrative backups;
- Conduct occasional upgrades at such times as they are deemed stable, and at times that best fit the overall schedule of the university. The Blackboard Administrator will provide advance notice of such upgrades.

## **Course Management Policies**

**Course Duration** – Official AUD courses will remain in Blackboard for up to 3 consecutive semesters. Instructors are responsible for saving a backup prior to then if they desire a permanent copy of the course. For example, a course offered during the Fall 2018 Semester will be disabled at the end of the Fall 2019 Session.

**Backup Policy** – Instructors will be responsible for creating and maintaining routine backups of their course(s). They should further understand that they are solely responsible for all content upkeep and that backups are generally their sole avenue of recovering deleted material. The backups may be stored on their computer, a server, disk or ZIP drive.

**Copy Content, Course Copy, Export Course and Archive Course** – The Control Panel offers instructors a variety of options to copy content and to save content. Training on these functions will be available through IT services.

**Register Information** – The online register is a tool designed for the convenience of students and faculty. It is not an official record of student grades, nor should it be considered a legally binding record of student scores. Instructors are strongly encouraged to periodically print out a copy of the online register, and to print a final copy for their records at the conclusion of the course. Copies of the electronic register and electronic student work are the sole responsibility of the instructor.

**Course Cartridges** – Course cartridges may be imported into AUD Blackboard. Instructors can work with publishers to request course cartridges.

**Multiple Sections** – Instructors teaching one or more sections of a course can utilize the Course Copy feature.

Blackboard integrated with the Student Information System to enable automate the exchange of grade data between the Student Information Systems (SIS) and Blackboard. Only the final grade information will be published from the Blackboard and will be processed in to Campus Nexus Student.

## **Training & Support**

- Technical Issues, Course Questions & Training - Contact IT Support Services through [ITHelpdesk@aud.edu](mailto:ITHelpdesk@aud.edu) or 04-3183480.
- Training Manual - A user training manual can be obtained by submitting an email to [ITHelpDesk@aud.edu](mailto:ITHelpDesk@aud.edu)

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President and Provost

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	Course Management Policies	Blackboard and SIS Integration

ADJUNCT FACULTY USE OF UNIVERSITY EMAIL	
Effective Date	Fall 2009
Date of Last Update	January 31, 2019

## POLICY AD-T-06

### PURPOSE

The purpose of this policy is to establish guidelines for the proper use of AUD email by Adjunct Faculty.

### POLICY

All active adjunct faculty will have email accounts on the AUD email server (adjunct.aud.edu). IT Services will create the adjunct email accounts prior to the beginning of a new semester according to the list provided by the Human Resources Department. Email accounts will remain active and functional as long as the adjunct is active. Unless the adjunct faculty are teaching another term, email accounts will be terminated 30 days from end of last term taught.

Adjunct faculty are advised to use proper social and professional etiquette when using the AUD email system. Use of the network implies consent for the monitoring of email traffic that is necessary for smooth administration of the resource. Unacceptable use of email includes, but is not limited to:

- unsolicited and unauthorized mass email (spam)
- offensive language
- obscene material or language
- infringement on others' privacy
- interference with others' work
- copyright infringement
- threats
- illegal activity

Penalties for misuse of AUD's Information Technology Resources are to be determined by the Dean/Program Chair or the faculty member's supervisor, following consultation with the President.

AUD technology resources should only be used to accomplish university-specific tasks, goals, and learning objectives.

**Email disk quota:** The email disk quota is the amount of data (including email attachments) that a user may store on the email server. If the quota limit is reached, no new email can be stored in the account Inbox -- new email is returned to sender. Inbox size: 15GB; Attachment size: 25MB.

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	All Sections	Updated terminology and reference to software/hardware

<b>NETWORK DATA STORAGE POLICY</b>	
<b>Effective Date</b>	Fall 2009
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-T-07**

### **PURPOSE**

The purpose of this policy is to establish guidelines for network data storage at AUD.

### **POLICY**

Network drive space is a resource provided for the purpose of storing current work-related data. All AUD users are responsible for managing this space, which includes deleting nonessential or obsolete files to keep network space utilization at a minimum. Personal media files such as music files, personal images, or video clips are not to be stored on network drives.

IT Services allocates a specific amount of network drive space to meet the needs of users and departments. IT Services is responsible for monitoring the network performance and storage space. Users and departments may request a disk quota increase. Upon receipt of a request, the drive space will be reviewed for compliance with the data storage policy.

Additional space may be allocated based upon need and availability of resources.

IT Services reserves the right to delete non AUD business-related files including personal media files, images and video clips stored on the network at any time.

### **Network Drives:**

There are two network drives currently in place for AUD users.

U:\ Drive - is the individual network drive. Disk space on this drive is to be used to store current college related information including instructional or class related materials. Each user is allocated 2 gigabytes of network drive space. Old archival files should be stored on external hard drives, DVDs or CDs.

M:\ Drive – is departmental space. This drive can be used for departmental and interdepartmental collaboration. This drive is restricted to faculty/staff of the AUD and the users who have been given permission to view folders. Departmental space is restricted to members of the particular department. Folders and subfolders within departmental space can be further restricted to certain users.

**Backup Schedule:**

Network drives are backed up nightly. Backup tapes are stored up to 60 days for the weekly backup and 2 years for the Monthly backup. Local drives on individual desktops and laptops are not backed up. Local drives typically include C:\ and D:\ drives. The “My Documents” folder is saved on a local drive. If the local drives fail, all data on the local disk drives might be lost.

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	Backup Selection	Monthly backup

MASS EMAIL POLICY	
Effective Date	Fall 2012
Date of Last Update	January 31, 2019

## POLICY AD-T-08

### PURPOSE

This policy applies to all Faculty and Staff in the AUD Community, with the purpose to improve the effectiveness and efficiency of electronic communication, and to minimize the amount of bulk undesired e-mails that members of the AUD community receive from other members of the AUD community.

“Mass e-mail” in this context means the transmission of an e-mail message to more than a small set of recipients who may not have elected voluntarily to receive the e-mail (i.e.: the option to send an e-mail *To All Faculty and Staff*).

The purpose of AUD’s e-mail system is to provide e-mail services to the faculty and staff for conducting University business. Every e-mail message sent from your AUD accounts, whether sent internally or externally, carries AUD’s name, and all communications should reflect that.

### POLICY

University-wide distribution of e-mail messages requires identification of the target audience for the message and approval of the message.

#### Authorizations and Approvals

Authorization to send mass e-mail is automatically granted in the following three cases:

1. **Local**

Unit heads are authorized to send messages to their faculty and staff.

2. **Official University Announcements**

Units that need to make periodic announcements to members of the AUD community are granted authority to send mass e-mail for matters of University business. Unit heads should approve messages sent from their respective units.

3. **Emergency**

In an AUD community-wide emergency situation, communication is coordinated by the Department of Central Services.



## Guidelines and Criteria

Generally speaking, mass e-mail is appropriate for:

- Messages that directly relate to carrying out the business of the University;
- Messages that relate to changes in University policy or time sensitive issues;
- Messages that inform a select group of people (i.e. faculty, staff, members of a specific school or department, etc.) of an announcement or event related to their specific role within the University.

Inappropriate use of mass e-mail includes, but is not limited to:

- Messages that are not in line with the mission of the University;
- Messages that are personal in nature, including, but not limited to congratulating a colleague, sharing an article and / or opinion about a specific subject, and replying to and / or commenting on another mass e-mail message;
- Messages that are commercial in nature with the exception of those messages that are in support of University business.

Appropriate action will be taken in response to violations of this policy.

**Interpretation:** Manager of Information Technology Services

**Ownership:** Executive Vice-President

**Publication:** AUD Personnel Policies and Procedures Manual

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	All Sections	Updated Terminology and reference to software/hardware

NETWORK DATA BACKUP POLICY	
Effective Date	Spring 2011
Date of Last Update	January 31, 2019

## POLICY AD-T-09

### PURPOSE

The purpose of this procedure is to document Network Data Backup, Restoration and Archive activities within the American University in Dubai.

### POLICY

This procedure applies to persons responsible for implementing the steps required to backup, restore, archive and salvage the software components that make up the resources that reside on the network.

AUD's enterprise backup system is configured to make a backup of student and faculty data folders stored on the network (see table A for specific details). Backup tapes are transferred off campus and stored in a secured and fireproof vault for a period of 60 days.

#### Definitions:

Full Backup – The process of copying the selected information residing on a storage device to another medium with the ability to restore the information intact in its original form.

Incremental Backup - The process of copying only new or changed information from a storage medium since the last time a Full Backup was performed on the same medium.

Append – The process of adding files to the tape rather than overwriting previously recorded data.

Information System Function (IS Function) – Persons from Information Technology Services who maintain computer systems.

Optical media - Optical media, such as the compact disk (CD) - are storage media that hold content in digital form and that are written and read by a laser; these media include all the various CD and DVD variations.

#### Responsibilities:

The IS Function is responsible for complying with the requirements in this procedure related to the control, management and availability of network resources and the applicable updates to the content of this document or other documents affected by these changes.

## PROCEDURE

### Current Backup task:

The procedures in this section include specific backup task names that exist and that are currently implemented. If the task names change, they must be documented using the **Backup Task Management Form, Attachment 1** and accompanying instructions in **Attachment 2**.

The current backup schedule uses Backup Job Name **BackupFull**, which are configured to back up the resources listed in **Table A**:

<b>Table A: Network resources that are backed up using Tapes</b>	
<b>Resources Type</b>	<b>Description</b>
<b>AUDMBX1 and AUDMBX2</b> 1. Microsoft Exchange server 2013 with failover cluster	-Mailboxes -Public Folder -Logs and mailbox Database storage group (First , Second, third and Fourth storage group)
<b>AUDFPSRV01,AUDFS01</b> 1. Data Volume: E 2. User's Directory	-Selected directory and sub-directory located on the E drive of All Non–Academic Departments Files. - User's directory
<b>AUDFS02</b> 1. Student's Directory	- All students 'U' drive
<b>AUDFS03</b> 1. Data Volume: E 2. User's Directory	-Selected Directory and sub-directory located on the E drive of all Academic files - User's directory
<b>AUDSQL201401, AUDSQL201402, AUDSQL201601, AUDSQL201602</b> 1. SQL Databases	- Database (AUDGP, C2000, DYNAMICS, Fixed Asset, ImageNow, PMS, Portal, Survey, RegForms, RegForms ...etc)
<b>AUDPCSP</b> 1. Data Volume: D	- All imageNow Data
<b>AUDBBLAPP</b> Blackboard Application Server 1. Data Volume: D	- All Blackboard application data
<b>AUDBBLDB</b> Blackboard Database Server	- Faculty and Students record
<b>KOHASRV</b>	- Complete library database
<b>Campus Nexus Servers</b> AUDCVSCOM1, AUDCVSAPI1, AUDCVSAPI2, AUDCVPR1 and AUDCVSPR2	- Campus Nexus Student Application Servers
<b>SharePoint Servers</b> AUDSP01 and AUDSP02. Microsoft SharePoint Servers	- Microsoft SharePoint Application Servers
<b>Microsoft Dynamics 2016 and PMS Servers</b> <b>AUDGP2016, AUDPMSSRV</b>	- GP2016 and PMS Application Servers

<b>Table B: Network resources that are backed up using Veeam Backup</b>	
<b>Resources Type</b>	<b>Description</b>
1. All the servers running on VMware ESXi 6.7	Veeam Backup & Replication software is using to backup all the VM's currently running on Seven VMware ESXi Host

The current backup schedule is configured to automatically run the following backup types and during the scheduled time frame listed in **Table B:**

<b>Table B: Network backup schedule and types</b>			
<b>Day</b>	<b>Time</b>	<b>Type</b>	<b>Description</b>
Every Night	17.30hrs to 0330hrs	Incremental	Daily backup - Incremental
Every Thursday and Friday	Starts at 1730hrs	FULL	Weekly backup -full
First Thursday of Every Month	Starts at 1730hrs	FULL	Monthly Backup -full

#### **File Restoration from tape:**

The **File Restore Request Form, Attachment 3** and the accompanying instructions in **Attachment 4** must be used to document the request and restoration of files.

Use the following steps to restore files using a set of backup tapes and the selections from the Backup Exec – Console Screen:

1. Determine the file(s) to be restored from the **File Restore Request Form, Attachment 3**.
2. Remove the current Backup Tape from the Server.
3. Retrieve the dated Backup Tape(s) with the file(s) to be restored from the safe vault and load the tapes in the HP backup drive.
4. From the Commands menu screen, select **Restore**.
5. Select by **Device**.
6. Select a **Restore Source**.
7. Select a **set#** and **Date**.
8. Choose a Directory or Select the files to be restored.
9. Press **F2** to Submit.
10. Select **Restore Destination Path** and supply the path location.
11. Assign a Task Name and select any other optional parameters.
12. Press **F2** to Submit.
13. Verify that the file has been restored to its original location.
14. Test the files and inform the users.

**Backup Tape Storage:**

The weekly backup tapes are kept for a period of 9 weeks before they get recycled. At the end of week 9, week 1 tapes get overwritten to maintain 60 days of data backup at all time. The backup tapes are retrieved from the HP backup tape drive located in the main server room (in the Administration Building) and transferred to a secured off-campus location. Every Sunday the backup tapes are transferred to a remote storage vault managed by MetroFile Company.

**Equipment Required:**

- Hardware
  - HP Storage Works MSL2024 LTO 7 Ultrium Tape Library
  - 6TB Tapes
- Software
  - HP Data Protector 10.01
  - Veeam Backup and Replication 9.5

**Appendices:**

Attachment 1: **Backup Task Management Form**

Attachment 2: **Instructions for the Backup/Archive Task Management Form**

Attachment 3: **File Restore Request Form**

Attachment 4: **Instructions for the File Restore Request**

Attachment 1  
**Backup/Archive Task Management Form**

<p>Server Name: _____</p> <p>Backup/Archive Task Name: _____</p>	
<input type="checkbox"/>	<input type="checkbox"/>
(Check one)	Change                      New
<p>Description: _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	
<p>Verification - Change/New:</p> <p>The backup/archive Task was completed and verified. Any exceptions are noted in the <u>Comments section below.</u>                      _____</p>	
<p><i>Comments:</i> _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	

Attachment 2  
**Instructions for the Backup/Archive Task Management Form**

Field Name	Information Requirements
<b>Server Name:</b>	Enter the current server name
<b>Backup/Archive Task Name:</b>	Enter the backup/archive job name that is being created or modified: For modified Task, enter the current task name as it exists in the <del>backup software list of scheduled tasks</del>
<b>Change - New</b>	Check the appropriate box: Change – to modify a current backup/archive task <del>New – to create a new backup/archive task</del>
<b>Description:</b>	Record any pertinent information that describes the nature of the change or addition of a backup/archive task.
<b>Verification – Change New</b>	The IS Function needs to sign and date this statement once the proposed actions have been completed and the results are <del>acceptable</del> .
<b>Comments:</b>	Record any results that have been noted that need further explanation. Example: If various files are not backed up because they are “open” and do not pose a threat to a restore, then these <del>results should be noted for future reference</del>

Attachment 3  
**File Restore Request Form**

Server Name: _____	Tape/CD/DVDLabel
Task Name: _____	
Date(s): _____	
<b><i>*this section to be filled out by IS Function</i></b>	
Request Description: _____ _____ _____ _____	
File/Folder name(s) and final drive & path location : _____ _____	
Restore Approval:  The requested Folders/Files have been approved for restoration. The files will be restored to their original location. _____ _____	
Restore Verification: The File/Folder restoration was completed and verified. Any exceptions are noted in the Comments section below. _____ _____	
Comments: _____ _____ _____ _____ _____	



Attachment 4  
**Instructions for the File Restore Request Form**

Field Name	Information Requirements
<b>Server Name:</b>	Server name will be recorded by IS Function Enter the current server name
<b>Task Name:</b>	Server name will be recorded by IS Function Record a task name that will be used to create a "task restore" on the server that when run will recover the selected files
<b>Tape/CD Label Date:</b>	Server name will be recorded by IS Function Record the Tape/CD/DVD Label Date from the media, which will be used to restore the files. It's possible that more than one resource will be used to recover files
<b>Request Description:</b>	Record the nature of the request. Example: <ul style="list-style-type: none"> <li>File became corrupted during a save and is no longer accessible.</li> <li>New network system file causes errors. Old file overwritten; need to restore</li> </ul>
<b>File/Folder name(s) and final drive &amp; path location :</b>	Enter the Drive name and path where the file was originally located: Example: U:\Common\IT Services\student_list.xls
<b>Request by: Date</b>	The signature and date of the person filing the request
<b>Restore Approval: IS Function</b>	The signature and date of the IS Function or Designee who is responsible for implementing the file restorations
<b>Restore Approval: IS Function</b>	The signature and date of the IS Function or Designee who is responsible for implementing the file restorations
<b>Comments:</b>	Any additional comments, which describe the nature of the file restoration events.

**Interpretation:** Manager of Information Technology Services  
**Ownership:** Executive Vice-President  
**Publication:** IT Internal Guidelines

SUMMARY OF CHANGES		
Date	Section	Change
17-03-2018	Current Backup task	Resources Type and Description

<b>ACADEMIC AFFAIRS ORGANIZATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

**POLICY AD-FA-01**

## **PURPOSE**

The purpose of this policy is to outline the structure and reporting relationships for faculty and academic administrators.

## **POLICY**

The Provost and Chief Academic Officer is responsible for the administration of AUD's Academic Affairs, provides guidance and support for all AUD academic operations and oversees AUD academic policy and long-range academic planning. The Provost and Chief Academic Officer oversees the appointment and promotion of all academic staff (Deans, Associate Deans, Chairs, Directors, and faculty members), chairs the Academic Council, serves on the Administrative Council, and chairs or is a member of various standing and ad hoc committees whose work impacts academic life at the university.

The Provost and Chief Academic Officer also performs external outreach and represents the University at functions that are aimed at building collaborative relationships and promoting the academic well-being and reputation of the university with the academic and professional communities and with government bodies, locally, regionally and internationally.

The heads of the following academic units (and others) report directly to the Provost and Chief Academic Officer:

- School of Architecture, Art and Design
- School of Arts and Sciences
- School of Business Administration
- Mohammed Bin Rashid School for Communication
- School of Education
- School of Engineering
- Executive Master of Business Administration (EMBA)
- Center for Entrepreneurship and Innovation
- Center for Active Learning
- Library

## **Organization**

The undergraduate degree programs offered at AUD are in the disciplines of international studies, psychology, business administration, communication and information studies, engineering, visual communication, architecture, and interior design. In addition, the School of Arts and Sciences encompasses a wide range of undergraduate courses, which form an integral part of the completion requirements for undergraduate degree programs. The Certificate in Middle Eastern Studies program is housed in the School of Arts and Sciences and the Professional Teaching Certificate in the School of Education. Four graduate programs are offered in business (M.B.A.), education (M.Ed.), leadership and innovation in contemporary media (M.A.) and construction management (M.S.C.M.).

A Dean, Associate Dean or Chair administers each academic program. Deans, Associate Deans or Chairs are responsible for supervising full-time and adjunct faculty members.

### **Dean, Associate Dean or Chair Definition**

Deans, Associate Deans or Chairs are full-time staff members:

- who are on three-year (renewable, i.e., open-ended contracts) contracts and work a minimum of 40 hours per week;
- whose primary responsibilities are administration of the academic program and teaching, but who are available for counseling, conducting institutional research, performing public service, and performing other duties as designated by the Provost and Chief Academic Officer or President's delegate;
- who are eligible for participation in the employee benefits package (holidays, vacation, insurance, etc.).

### **Academic and Professional Preparation**

Deans, Associate Deans or Chairs must:

- hold the appropriate academic preparation for their discipline, that meet accreditation requirements;
- demonstrate excellence in teaching;
- demonstrate outstanding professional experience and other credentials.

### **Responsibilities**

Deans or Associate Deans report directly to the Provost and Chief Academic Officer. The responsibilities of the Dean:

- effectively administer the academic unit and the competitiveness, health, and enrollment of the programs that she/he is managing;
- oversee and ensure effective operations and delivery of courses in the School;
- lead the curriculum review process in the School and submit recommendations to the Curriculum Committee;
- perform periodic measurement and assessment of School effectiveness as part of the overall outcomes assessment process and administer the assessment processes for the program(s), faculty, students, courses, etc.;
- submit and justify yearly budget proposals based on a careful analysis of program needs;
- evaluate and make recommendations on applications for faculty positions in the School's discipline(s);
- supervise and evaluate the performance of faculty members teaching courses in the School;
- meet with full-time and adjunct faculty members in the School regularly and maintain open communication with them;
- keep faculty members informed of university activities and expectations;
- foster teaching excellence and effectiveness in the School;
- ensure adherence to the university's policies on academic integrity and other academic policies and procedures;
- handle student requests, appeals and complaints related to courses in the School/Department;

- maintain and improve the School's image and reputation;
- represent the School at internal and external activities and functions;
- communicate the School's needs to the Provost and Chief Academic Officer or Dean and report promptly any situations that might require the Provost and Chief Academic Officer's involvement.

Deans may be assisted in these responsibilities by Associate Deans and Chairs.

## **Full-Time Faculty**

### **Definition**

Full-time Faculty members are persons who:

- have a contract stipulating their full-time position;
- hold the appropriate academic preparation for their discipline;\*
- demonstrate excellence in teaching.

*\* In most cases, this translates to a terminal (doctoral) degree. In some cases, a Master's degree may be considered a terminal degree (e.g., MFA, MArch, MSW, and MLS). AUD recognizes that faculty with such master's degrees can teach undergraduate courses in their respective disciplines, as long as this is in line with relevant CAA Standards*

### **Responsibilities**

Full-time faculty members report directly to the respective Dean, Associate Dean or Chair. The responsibilities of the full-time faculty member are to:

- prepare and teach a full-time course load as assigned and/or facilitate independent studies;
- meet all requirements of the student, course and program assessment processes
- actively engage students in the learning process
- assist in the continued development and enhancement process of the current and future academic program areas;
- participate in campus, program, or institutional committees as assigned;
- adhere to/enforce university policy;
- engage in personal and professional development and fulfill expectations (as indicated on annual Performance Evaluation) regarding research, scholarship and creative activities;
- recommend to the Director of Library Services the acquisition of reference materials for the School/Department.

### **Adjunct Faculty Definition**

Adjunct Faculty members report directly to the Dean, Associate Dean or Chair. The responsibilities of a part-time/adjunct faculty member are to:

- prepare and teach up to two courses, as required;
- meet all requirements of the assessment processes for the courses (program);
- attend faculty meetings and departmental meetings, as requested;
- recommend to the Librarian the acquisition of reference materials for the department, subject to prior approval by the Dean, Associate Dean or Chair;
- understand the purpose and goals of the university and espousing them in the performance of his or her responsibilities;
- adhere to/enforce university policy.

### **Visiting Faculty**

Occasionally, the university appoints visiting faculty members from other universities or from the professional community. These faculty members generally teach for a period up to one academic year.

Visiting faculty members must meet the academic and professional preparation requirements of full-time faculty members. Their responsibilities are similar to those of full-time faculty members and are outlined specifically in their contract.

### **Faculty Tutoring**

Full-time faculty members are not permitted to tutor AUD students.

Adjunct faculty members may tutor any AUD student who is not currently enrolled in any of his or her respective classes.

From time to time and depending on needs, AUD may deem it necessary to offer study sessions in particular disciplines to support its academic programs. Should this be the case, appropriate faculty members will be identified and compensated by AUD.

### **Graduate Assistants**

Some graduate programs e.g., the graduate program in the School of Business Administration offer a Graduate Assistantship Program. The policy governing the selection and assignment of these Graduate Assistants is found in the offices of the SBA Dean, the Provost and Chief Academic Officer, and Institutional Effectiveness. Essentially, these Graduate Assistants, who are currently M.B.A. Candidates at AUD, aid faculty members in course preparation and classroom administrative tasks.

**Interpretation:** Provost and Chief Academic Officer  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Graduate Assistants	Added
<b>January 31, 2019</b>	Entire Policy	Updated to provide greater alignment with best practices

FACULTY PARTICIPATION IN GOVERNANCE POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-02

### PURPOSE

The purpose of this policy is to establish the guidelines for faculty involvement in the university's governance.

### POLICY

AUD's *Policy on Faculty Involvement in the Governance of the University* sets a broad context for faculty responsibility and authority in governance matters. Through their teaching, serving on curriculum committees at the academic unit level and university-wide Curriculum Committee, as well as serving on other ad hoc committees, AUD faculty members participate in academic governance.

The university's Academic Council – in exercising its role as a policy-making body – acts as a forum through which faculty members' perspectives and concerns are voiced. In essence, through member Deans, Associate Deans and Chairs, faculty members' opinion is represented at Council meetings and serves as one of several inputs to the decision-making process. Faculty members have the right to stay abreast of Council proceedings through their Deans, Associate Deans or Chairs who are in possession of the minutes of all Council proceedings. Minutes of proceedings are posted in a shared folder on the internal network and are accessible to faculty and staff (\\audfP0\\common\\Provost office\\Academic Council).

- Faculty members are also encouraged to seek direct access to the Council for the purpose of raising issues or making proposals. The following mechanism serves as a means for providing faculty members with direct access to Council meetings:  
Faculty members, via their Dean, Associate Dean or Chair, may request from the Provost and Chief Academic Officer the placement of an item on the Council's agenda/the opportunity to address the Council in person;
- If approved, the Provost and Chief Academic Officer will insert the item for discussion on the meeting's agenda and, if applicable, inform the faculty member of the schedule for personal intervention;
- Separately, agendas of all Academic Council meetings will be circulated to the faculty-at-large, concurrent with their distribution to Council members. Faculty members will also have access to minutes of the Council's proceedings, filed in a shared folder on the local area network.

Faculty members may also participate in the proceedings of the Administrative Council by following the same procedure. The Provost and Chief Academic Officer represents faculty members, Deans, Associate Deans and Chairs on the Administrative Council and serves as a voice for faculty members in the Council's deliberation of matters, which are of a non-academic nature. Minutes of Administrative Council proceedings are available for consultation in the office of each administrative office head. They are also posted in a shared folder on v:\Administrative Council Members. Faculty members' input into non-academic governance is also sought through the administration of the annual Faculty Satisfaction Survey and other faculty surveys which request feedback on the operations of the various administrative departments.

As AUD's Mission is teaching-oriented, it is natural that the responsibility and authority of faculty members in the university's governance be related primarily to their role as teachers and advisors and as protagonists in the academic life of the institution; hence, the emphasis in AUD's faculty contracts and in published literature on obligations with regard to these matters. The influence of faculty members, ultimately deriving from AUD's Mission is, therefore, far-reaching.

The following standing or ad hoc Committees/Councils have direct faculty membership/participation:

Departmental Curriculum Committees, the University Curriculum Committee, Graduate Admissions Committee, Graduate Academic Committee, the Library Committee, Honor/Conduct/Grade Appeal Councils, Faculty Grievance Council, the IE Steering Committee and the *Compliance Certification/QEP* Leadership Teams.

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updated to align with current best practices.



FACULTY RECRUITMENT AND SELECTION POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-03

### PURPOSE

The purpose of this policy is to provide guidelines for the recruitment and selection of faculty.

### POLICY

Deans/Chairs are responsible for identifying faculty needs and notifying the Provost and Chief Academic Officer of the vacancies. After candidates are identified, Deans/Chairs are responsible for managing the selection process and recommending the short list of candidates to the Provost and Chief Academic Officer. Faculty can be hired in full-time or adjunct faculty status. However, the proportion of adjunct faculty teaching in each program must not exceed 25% of the total number of faculty.

### FACULTY QUALIFICATIONS

All academic program administrators must adhere to the Commission for Academic Accreditation (CAA) *Stipulation 8 (Appendix 1)*; SACSCOC Faculty Credentials Guidelines (*per Standard 6.2 a) (Appendix 2)*; and the program's respective faculty qualification criteria in the employment of faculty. The Commission for Academic for Academic Accreditation requires all full time and part faculty to hold terminal degrees in the teaching field unless noted otherwise under *Stipulation 8*. Program administrators may seek exceptions to the CAA faculty qualification criteria by submitting a *request for terminal degree exception* to the Office of the Provost and Chief Academic Officer and the Office of Institutional Effectiveness. The request is subject to review by both aforementioned offices prior to final submission to the CAA. The Provost and Chief Academic Officer has the final jurisdiction on the submission of the *request for terminal degree exception* to the CAA.

The SACSCOC *Faculty Credential Guidelines* must be adhered to in evaluating faculty credentials. A minimum of 18 graduate credit hours is required in the specific discipline of instruction. Additionally, the *Faculty Roster form* (Appendix 3) specifying courses to be taught and faculty qualification must be filled by the deans/chairs for all short-listed candidates and submitted to the Provost and Chief Academic Officer for Approval.

## PRODECURE

### Full-Time Faculty

Full-time faculty members are appointed by the Dean, Associate Dean or Chair of the respective School/Program with the approval by the Provost and Chief Academic Officer.

- The Dean, Associate Dean or Chair notifies the Provost and Chief Academic Officer of the vacancy;
- The Dean, Associate Dean or Chair reviews and updates the position profile;
- Notice of the position is advertised in appropriate (local and international) publications, as well as on the AUD employment website;
- Letters of inquiry and applications are received by Academic Affairs and the office of Human Resources ([facultyrecruitment@aud.edu](mailto:facultyrecruitment@aud.edu));
- *Applications are evaluated by the Dean, Associate Dean or Chair;*
- Preliminary evaluations are to be completed within one week;
- A short list of candidates for each available position is produced;
- *The applicants' details are forwarded to the Human Resources office to go through the nonacademic aspects terms and conditions of (any) appointment (compensation, benefits, start dates, etc.).* Once a 'meeting of the minds' on the non-academic specifics is reached, the office of Human Resources notifies the respective Dean, Associate Dean or Chair;
- The Office of Human Resources arranges for the Dean, Associate Dean or Chair to interview the shortlisted candidates.

Once a candidate(s) is/are approved by the Dean, Associate Dean or Chair, the candidate's details are forwarded to the Provost and Chief Academic Officer for final interview and approval. The President may, on occasion, for discipline- or institution-related reasons participate in this process.

Approved candidates receive a contract reflecting the agreed terms and conditions. A specimen contract is reflected in Appendix 4 of this *Handbook* and includes the following information:

Title of position; date of appointment; salary; pay period; job description; hours; and benefits.

*In the event a faculty member should opt not to teach during the Summer Session following any academic year, he or she must inform their Dean, Associate Dean or Chair and Human Resources in writing by September 15 of the academic year to which this applies.*

## Adjunct Faculty

Adjunct faculty members are employed semester-by-semester, and appointed by the Dean, Associate Dean or Chair with approval by the Provost and Chief Academic Officer. Adjunct faculty contract renewals are at the discretion of Deans, Associate Deans or Chairs, subject to approval by the Provost and Chief Academic Officer. Deans, Associate Deans and Chairs are required to ensure that the proportion of adjunct faculty teaching in their respective programs does not exceed 25% of the total number of the program's faculty.

The authorization of recruitment must come from the Provost and Chief Academic Officer. When the decision has been made to recruit an adjunct faculty member the procedures to follow is:

- The Dean, Associate Dean or Chair notifies the Provost and Chief Academic Officer of the vacancy;
- The Dean, Associate Dean or Chair reviews and updates the position description;
- Notice of the position is advertised primarily in local publications. National educational publications, conventions, and letters and telephone calls to colleagues in other institutions are other recruiting methods often used;
- Letters of inquiry and applications are received by the Human Resource Director, and desirable candidates are selected for a personal interview;
- The candidate is interviewed by the Dean, Associate Dean or Chair;
- The Dean, Associate Dean or Chair forwards an *Adjunct Approval Form* to the Provost and Chief Academic Officer;
- The Provost and Chief Academic Officer's decision is indicated on the *Adjunct Approval Form*. The Provost and Chief Academic Officer may decide to interview the candidate for this purpose;
- The *Adjunct Approval Form* is sent back to the academic unit and to HR;
- The candidate, prior to appointment, must submit:
  - a résumé/curriculum vitae of personal data, educational qualifications, and professional accomplishments;
  - an official transcript from all undergraduate and graduate schools attended;
  - documentation required by government regulations to establish identity and employment eligibility; - three references.
  - Individuals hired on part time basis and are under the visa sponsorship of another party must provide a "No Objection Certificate" prior to commencing employment at AUD.
- Approved candidates will receive a letter of appointment including the following information:
  - title of position; date of appointment; salary; pay period; job description; hours; and benefits.

This letter of appointment in no way represents an annual contract unless specifically stated and mutually agreed upon. (Appendix 5 – Adjunct Faculty Contract).

Reappointment of adjunct faculty for subsequent terms: Reappointment of adjunct faculty members is usually decided within 30 days prior to the beginning of the new term. Contracts are issued on similar timing.

Prior to the appointment of a candidate, the university must determine that the candidate's proficiency in oral and written communication in the language in which the course(s) is being taught is such that the appointment is appropriate.

### **Documentation: Faculty Credentials**

Official transcripts must be submitted for all earned degrees. In order to be official, a transcript must be mailed in a sealed envelope by the institution granting the degree directly to AUD's Office of Human Resources. Faculty must submit copies of all diplomas awarded. The required documentation is normally provided before the commencement of teaching duties. Faculty members are given a one-term grace period in order to ensure that their files are in order.

Note that per the requirements of the UAE government, all faculty are required to obtain attestation of the last earned degree credentials (***diploma***) from the Ministry of Human Resources and Emiratization.

The transcripts confirm the course work the faculty member completed, the degree issued and the year. The seal of the conferring institution must be present on the transcript. (AUD collaborates with several agencies in the U.S. to determine the U.S.-equivalent of non-North American degrees.)

If the faculty member obtained his or her degree from a non-English speaking institution, the transcript must be translated by a certified translation service. The faculty member (at his or her own expense) must submit the transcript to a recognized translating service and have it translated into English.

Faculty members should also submit copies of any professional certifications they have earned. Copies of the certifications they earned must be kept in the respective faculty member's personnel file.

In those instances in which faculty have received their degrees from institutions that do not issue transcripts, a letter from the institution attesting to issuance of the degree will be required.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
April 2009	Policy	Added: PT Faculty restricted to 25% of total.
June 2009	Transcripts Requirement	Added: Required documentation is normally provided before the commencement of teaching duties. Faculty are given a one term grace period in order to ensure that their files are in order.
January 31, 2012	Policy and Procedure	Added: Faculty Credential Guidelines (minimum of 18 graduate credit hours required in the specific discipline of instruction) and Faculty Roster Form in the document where applicable.

# APPENDIX 1

## **Stipulation 8: Faculty Qualifications** *(From the CAA Standards for Licensure and Accreditation, 2011)*

An institution must adhere to the following requirements regarding the qualifications of faculty members, both full-time and part-time. These requirements extend also to administrators and professional staff of the institution who teach courses.

1. The preparation and qualifications of all faculty members are appropriate to the field and level of their assignments, with degrees earned from internationally recognized institutions of higher education.
2. Qualifications of all faculty are documented through official transcripts or an alternate and independently authenticated source.
3. Permanent faculty files include passport and visa information (for non-UAE nationals) and an up-to-date curriculum vitae.
4. Faculty teaching developmental or remedial courses have a minimum of a baccalaureate degree in a discipline related to the subject taught, and either teaching experience in that subject, or graduate level training in remedial or developmental education.
5. Faculty teaching credit courses in certificate, diploma, or associate degree programs not offered in conjunction with a baccalaureate degree program, have a minimum of a master's degree with a major in the discipline taught and one of the following:
  - a. five years of teaching experience in the discipline;
  - b. a combination of five years of experience in teaching or other employment related to the field;
  - c. the equivalent of eighteen semester credits of graduate study in the field beyond the master's degree;
  - d. an internationally recognized professional credential (such as certification as a public accountant).
6. At least one faculty member teaching in a certificate, diploma, or associate degree program not offered in conjunction with a baccalaureate degree program, holds a terminal degree in a relevant discipline.
7. Faculty teaching general education courses included as part of a baccalaureate degree curriculum (the first two courses in English, Arabic, or other languages, and the first course only in Islamic studies/history/culture, humanities, arts, social sciences, behavioral sciences, natural sciences, physical sciences, mathematics or information technology) have a minimum of a master's degree with a major in the discipline taught and one of the following:
  - a. five years of teaching experience in the discipline;
  - b. a combination of five years of experience in teaching or other employment related to the field;
  - c. the equivalent of eighteen semester credits of graduate study in the field beyond the master's degree;
  - d. an internationally recognized professional credential (such as certification as a public accountant).
8. Faculty teaching courses in baccalaureate degree programs; in certificate, diploma or associate degree programs offered in conjunction with a baccalaureate degree; or in higher diploma programs requiring three years or more of study beyond secondary school have a terminal degree in the teaching discipline, usually a doctorate or, where appropriate, a terminal master's degree.<sup>2</sup>
9. Faculty teaching courses in graduate degree programs have a terminal degree

in the teaching discipline, and either a strong record of research and scholarly activity or significant professional experience as a practitioner in an applied discipline.

10. Faculty supervising theses in graduate degree programs have a terminal degree in the discipline in which the research is conducted, and a strong record of research and scholarly activity. Principal supervisors have appropriate prior supervisory experience.
11. Exceptions to the requirement for a terminal degree, which must be justified and documented by the institution, are:
  - a. limited to faculty members in applied fields who have a minimum of either:
    - i. a master's degree in the teaching field or a doctorate in a related field, and who also have extensive senior level experience in the applied field (such as corporate management or accounting);
    - ii. experience in the applied field coupled with internationally recognized professional association certification (such as medical board certificate or Certified Public Accountant);
  - b. fully justifiable in terms of education, training, and professional experience;
  - c. restricted to no more than 10% of all faculty in the institution;
  - d. are reported to the Commission as exceptions for approval prior to the start of the semester in which the faculty member will teach. Reports to the Commission must include the name of the faculty member for whom the exception is requested, the highest degree earned and the conferring institution, the area of specialization, the justification for the exception, and a listing of the courses assigned.

2. *In art, design, and design related disciplines, a Master of Fine Arts (MFA), Master of Architecture (MArch), or other master's degree that is studio-based may be considered the terminal degree. The Master of Social Work (MSW) is the terminal degree in its field.*

## APPENDIX 2



***Southern Association of Colleges and Schools  
Commission on Colleges  
1866 Southern Lane  
Decatur, Georgia 30033-4097***

### **FACULTY CREDENTIALS**

#### **- Guidelines -**

Standard 6.2.a (*Faculty qualifications*) of the *Principles of Accreditation* reads as follows:

For each of its educational programs, the institution justifies and documents the qualifications of its faculty members.

When an institution defines faculty qualifications using faculty credentials, institutions should use the following as credential guidelines:

- a. Faculty teaching general education courses at the undergraduate level: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- b. Faculty teaching associate degree courses designed for transfer to a baccalaureate degree: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (a minimum of 18 graduate semester hours in the teaching discipline).
- c. Faculty teaching associate degree courses not designed for transfer to the baccalaureate degree: bachelor's degree in the teaching discipline, or associate's degree and demonstrated competencies in the teaching discipline.
- d. Faculty teaching baccalaureate courses: doctorate or master's degree in the teaching discipline or master's degree with a concentration in the teaching discipline (minimum of 18 graduate semester hours in the teaching discipline).
- e. Faculty teaching graduate and post-baccalaureate course work: earned doctorate/terminal degree in the teaching discipline or a related discipline.
- f. Graduate teaching assistants: master's in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations.

*Approved: College Delegate Assembly, December 2006*

*Updated for Revised Principles: April 2018*



# APPENDIX 3

## Faculty Roster Form Qualifications of Full-Time and Part-Time Faculty

Name of Institution:

Name of Primary Department, Academic Program, or Discipline:

Academic Term(s) Included:  
Completed:

Date Form

1	2	3	4
NAME (F, P)	COURSES TAUGHT Including Term, Course Number & Title, Credit Hours (D, UN, UT, G)	ACADEMIC DEGREES& COURSEWORK Relevant to Courses Taught, Including Institution & Major List specific graduate coursework, if needed	OTHER QUALIFICATIONS & COMMENTS Related to Courses Taught

F, P: Full-time or Part-time; D, UN, UT, G: Developmental, Undergraduate Nontransferable, Undergraduate Transferable, Graduate

## APPENDIX 4

### *Template of a full-time faculty contract (eff. fall, 2018)*

#### **AGREEMENT**

This Contract has been entered into  
the [ ] day of 20[ ]

Between

The American University in Dubai  
P.O. Box 28282, Dubai, United Arab Emirates

And

Dr. [ ]

Whereas the Employer wishes to engage the services of the Employee and whereas the Employee has accepted this engagement, therefore the parties have agreed on the following terms and conditions:

#### **1. Commencement and Duration**

Subject to Clause 10 hereof, this Agreement shall commence on [ ] and shall continue to the end of the teaching cycle ending [ ].

#### **2. Probation Period**

The Employee will be considered “on probation” for the first six months of this Agreement. In lieu of written communication to the contrary, continued employment by the Employer will be interpreted as a definitive removal from probation as defined by U.A.E. Law.

#### **3. Job Title and Duties**

The title of the position is [ ]. The duties of the position are as stated in the university's *Personnel Policies and Procedures Manual* and Position Profile.

Appointment to this position is made taking into account the Employee's academic credentials as represented by the Employee. The university reserves the right to terminate this Agreement should changes in the requirements of the university or its accreditation bodies, The Commission on Colleges of the Southern Association of Colleges and Schools and the U.A.E. Ministry of Education – Higher Education Affairs, subsequently render the Employee's credentials inappropriate for the university's educational Mission.

#### **4. Place of Work**

The American University in Dubai, or at other such locations as the university may from time to time require.

#### **5. Obligations of the Employee**

During the period of service under this Agreement, the Employee will:

- a) at all times faithfully and honestly discharge and carry out all the duties and responsibilities which he or she may reasonably be required to perform, subject always to the terms and conditions of this Agreement, in accordance with directions and instructions given to him or her from time to time by the Employer; and in pursuance

thereof shall show the utmost good faith to the Employer in all matters relating to the university;

- b) not engage in any other employment, profession or business of whatever kind, whether paid or unpaid without the consent of the university;
- c) not in any circumstance nor at any time, whether during the continuance or after the termination of his or her employment impart any information regarding the Employer's business or affairs or any other matter which may come to his or her knowledge by reason of his or her employment;
- d) give professional whole and undivided attention to the business of the Employer and conduct him or herself at all times in a manner so as not to bring discredit upon him or herself or the Employer;
- e) work for the Employer during normal office hours (see 8 below) and recognize and accept that his or her work is of a professional character and that time spent therein outside normal office hours should not form any claim to payment of overtime, and work such other hours as may be reasonably required in connection with the business of the Employer;
- f) comply with all laws, acts, orders, regulations and other instruments which may be promulgated in the U.A.E. now or in future and abide by all applicable local laws and pay due respect to local customs;
- g) participate in the university's Annual Commencement Ceremony, unless the faculty member chooses to not teach the Summer I session;

***Please sign either item (h) or (hi)***

- h) teach eight (8) courses per academic year, normally four (4) in each of the Fall and Spring semesters respectively. In the unlikely event that additional courses are taught above the required number, faculty members will receive extra compensation (currently AED 12,000 per course). This compensation will be provided at the end of the semester in which the overload is taught. By selecting this option, your salary will be as stated in item 6(b) of this employment contract. Please acknowledge by signing here: [ ]
- hi) In addition to item (h), you also have the option to teach a maximum of two (2) classes during one of the two summer sessions. By selecting this option, your salary will be as stated in item 6(a) of this employment contract. Please acknowledge by signing here: [ ]

***In the event a faculty member should opt not to teach during the Summer session following any academic year, he or she must inform their Dean, Associate Dean or Chair and Human Resources in writing by September 15 of the academic year to which this applies.***

- i) In his or her capacity as [ ], the Employee will, in addition to the teaching duties stipulated in (h/hi) above: (1) be responsible for student advising; (2) be regularly available to students for ten hours per week, and post these hours at the start of each academic semester/session: and (3) attend and actively participate in Committee and other meetings of the School of [ ] and the university, to which the Employee may be appointed or called to attend from time to time.

## **6. Remuneration/Benefits**

- a) Basic Salary for teaching two semesters and one summer session: AED[ ] /month.
- b) Basic Salary for teaching two semesters: AED[ ] /month.
- c) Allowance: AED xxx.00/month.

- d) Housing: Subject to signing a lease agreement, a [ ] bedroom apartment, will be provided for use by the Employee and his/her Dubai-resident spouse\* and Dubai-resident dependents\* as his/her or her principal domicile. The Employee is responsible for the payment of all telephone charges. All utilities bills (Water and Electricity) will be paid for by the university.
- e) Household goods/personal effects may also be shipped to Dubai for an amount not to exceed AED [ ]. Should the Employee decide not to ship anything, the AED [ ] will be given upon arrival in Dubai as a cash disbursement. The disbursement is subject to a pro-rata repayment at the rate of 33% for each year by which the Employee's service falls short of three years following receipt. (Any) repayment shall be prorated for part of a year's service. No repayment is due to the University on completion of this contract.
- f) Gratuity: As per current U.A.E. labour law, employees receive 21 days per annum of salary. After five years of continuous service, employees receive 30 days per annum of salary per subsequent completed year of service. Gratuity is to be accrued and paid upon completion of service according to applicable U.A.E. Law. In the (unlikely) event that an employee prematurely terminates a termed contract, no gratuity is payable.
- g) Air travel: In order to join the university, the employee, Dubai-resident spouse\* and up to 3 Dubai-resident dependents\* (below 22 years of age) will be provided with economy class airline tickets to Dubai from [ ]. The employee, Dubai-resident spouse\* and up to 3 Dubai-resident dependents\* (below 22 years of age) will receive round-trip economy class airline tickets for purposes of home leave, at the end of each completed year to their home address of record at the time of joining the university. (One for the 20\_/20\_ academic year, and one for the 20\_/20\_ academic year). One-way economy class tickets are provided in the final year of service (Repatriation.) The university, based on the best applicable fare, will make the reservation for such air travel. Further details of the air travel policy are available from the Human Resources Office.
- h) Health Insurance: The Employee is entitled to participate in the university's Health Insurance Plan and Life Insurance Plan. Details of both policies governing this participation are available from the Human Resources Office.
- i) Educational Assistance: The Employee is entitled to participate in the university's Educational Assistance Plan. Details of the policy governing this participation are available from the Human Resources Office. The Employee's financial dependents are eligible to apply to enroll free of charge for programs offered at AUD after the Employee has completed one year of continuous employment.
- j) For purposes of repatriation, the Employee, Dubai-resident spouse, and Dubai-resident dependents (below 22 years of age) will be provided with a one-way economy class airline ticket to return to his or her [ ] address given that the tenure of this Agreement is completed, and the Employee will be leaving the U.A.E.
- k) Provided the Employee completes the term of this Contract, household goods and personal effects will be shipped to the home address of record/origin (given that the Employee leaves the U.A.E. upon completion of this contract). This is not a cash disbursement, and the amount will be paid directly to the university-appointed shipping company conducting the relocating. In no case will this amount exceed AED [ ].
- l) The Employee's performance will be reviewed on an annual basis, normally in January of each year, beginning with the second January of the employee's tenure at the university (January 20\_\_). Professional performance/effectiveness will act as the major factor in determining the amount of salary increment, if any.

Allowances and benefits shall not be provided to the employee where such allowances or benefits are already, or become available to the employee through the employment of the Employee's spouse in the U.A.E.

*\* Dubai-resident spouse or dependents: those who have a Dubai residency and live with the employee in Dubai throughout the year.*

### **7. Annual Leave/Release Time for Professional Development**

The Employee is entitled to a total of two months (44 workdays) of combined annual leave and release time for professional development, per completed year of service. These two months are split as one calendar month (22 workdays) annual leave (vacation) and additionally one calendar month (22 workdays) release time. This release time may be used at the employee's discretion for professional development, research or annual leave. Any vacation/release time not taken by the end of the academic year will not be purchased back nor rolled over to the succeeding year by the Employer. The Employer will have the right to determine dates of annual leave/release time. All other days with the exception of U.A.E. public holidays and weekends are deemed to be working days. Under U.A.E. labour law, the employee is not entitled to paid vacation during the probation period.

### **8. Hours of Work**

Faculty are expected to commit to 40 hours of weekly service to AUD. This includes hours spent teaching; and ten hours per week of office hours, scheduled during the university's business hours of 8:00 a.m. to 5:00 p.m., Sunday through Thursday (allowing for a one hour lunch break.). Furthermore, faculty are expected to be available for meetings and other academic activities prescribed by department, school and university administration during AUD's business hours.

### **9. Sick Leave**

As per U.A.E. labour law, employees are entitled to sick leave with full pay for fifteen days and half pay for a further thirty days during each year, on a pro-rated basis. Under U.A.E. labour law, the employee is not entitled to paid sick leave during the probation period.

### **10. Termination/Resignation**

This agreement may be terminated:

- a) At any time by either party giving the other written notice as per the following schedule:
  - to leave at the end of the spring semester (or Summer session I, in cases where the Employee has opted to teach in the summer) written notice must be issued no later than February 1 of that year;
  - to leave at the end of the fall semester, written notice must be issued no later than July 1 of that year;
- b) by the Employer giving the Employee his or her salary entitlement in lieu of notice together with (any) entitled gratuity as per the deadlines listed in item 10 (a) of this Agreement;
- c) upon the expiration of the contract unless it is renewed;
- d) by the Employer at any time summarily and without notice or gratuity if the Employee commits any breach of the acts described by Article 120 of the U.A.E. Federal Labour Law;
- e) by either party under the terms applicable to the probationary period of the contract;
- f) by the Employer in the event of death or permanent incapacity of the Employee; and,

- g) should either the university or its accreditation bodies, The Commission on Colleges of the Southern Association of Colleges and Schools and the U.A.E. Ministry of Education – Higher Education Affairs, subsequently determine that the Employee's credentials are inappropriate for the university's educational Mission.

In case of breach of this limited-term contract, AUD reserves the right to apply a penalty as stipulated by Article 116 of the UAE Labour Law.

On termination of employment, the Employee will return forthwith all university property, which may be in possession or under his or her control including copies of all documents, papers and notes relating to university business. No notice is required whilst the employee is on probation.

#### **11. Non Completion**

This Agreement is contingent upon the Employer's securing the required visas and permits for the Employee from the concerned authorities.

#### **12. Supervision**

The Employee's immediate supervisor will be the Dean, Associate Dean or Chair of [ ] or anyone acting in his or her capacity.

#### **13. Notice Agreement**

This agreement embodies the entire understanding of the parties and both acknowledge that there are no promises, terms, conditions, or obligations oral, written, expressed or implied, other than those contained herein.

#### **14. Professional Organizations/Development**

- a) For professional employees, and where appropriate, the university agrees to provide membership fees for up to two professional organizations per year, to a maximum cost of US\$200 each.
- b) AUD encourages faculty members to attend regional (international), and local (U.A.E.) conferences/seminars/workshops. The policy governing the attendance of such events is published in the *Faculty Handbook*.

### **15. Communication**

The university asks employees in their communication ("communication" is defined as any verbal, written or virtual public diffusion of information – including but not limited to that in mass media such as traditional media, email, websites, blogs, social media, etc. and audiovisual material such as videos, photos, etc.) to be sensitive, especially with respect to issues of religion and politics, to the cultural and societal norms of the Emirates and the Gulf Region. Employees are warned that communication deemed to be offensive to the local community could be grounds for immediate termination under article 120 of the U.A.E. labour law. Further, no employee in their capacity as an AUD faculty or staff member, should make or agree to issue, in any form, whether written or by other means, any communication without the prior consent of the university, specifically the Office of Communications .

In witness whereof, the parties have executed this Agreement on the day and year first written above.

[ ] (signed)

**President** for and on behalf of The American University in Dubai

[ ] (signed)

[ ] Position

[ ] Dr.

## APPENDIX 5

Template of an Adjunct Faculty Contract (Eff. Fall 2018)

[ ] Day of [ ] 20 [ ]

Dr. [ ]

Dubai, U.A.E.

Dear Dr/Mr./Ms..

I am pleased to offer you a position as an adjunct instructor at The American University in Dubai for the Fall Semester ( ), running from the first day of class on [ ] through [ ].

New Adjunct faculty are required to attend an orientation conducted by the Office of Human Resources and any other orientation session(s) specific to the school that houses their teaching assignment.

### ***Duties***

1. To meet with your class(es) at the time specified on the academic schedule for a minimum of [ ] classes of [ ] minutes in length (Mid-semester exams count within the [ ] classes.) If you are unable to meet with your classes on the dates specified, you must notify your Dean, Associate Dean or Chair of the absence as early as possible. Upon your return, a "Class Rescheduling Form" must be completed confirming details of when you will make up the class(es) missed. Additionally, given the special importance and significance attached to the first week of semester, university policy precludes the cancellation of any classes during this week. Should cancellation(s) be absolutely unavoidable during the first week, you are required to bring the matter to the attention of the Provost and Chief Academic Officer. The Provost and Chief Academic Officer, depending upon the seriousness/relevance of the absence(s), reserves the right to rescind this contract.
2. To prepare and mark your own examinations or other methods of assessment and prepare final grades for each student in your class(es).
3. Your classes must begin and end at the scheduled times.
4. Final grades are due with the Registrar within 48 hours after the exam is administered.
5. The Employee's immediate supervisor will be the **Dean of the School of .....** or anyone acting in his or her capacity



### **Remuneration**

The university traditionally schedules classes to run with an enrollment of between six and thirty students. Remuneration for teaching one class is AED [ ] .

If fewer than six students enroll in a particular class, the Instructor's remuneration is scaled down on a prorata basis (e.g., a class with 1 student will pay 1/6th of AED [ ] or [ ] ). The official level of enrollment will be determined based on the Class Information Report after the second day of the semester. To learn the class size on which your remuneration will be based, refer to Registrar at the end of the second day of the semester. Given the possibility of reduced pay, the university acknowledges the Instructor's right to cancel that class. This cancellation must occur by 10:00 a.m. of the third day of the semester by notifying your Dean, Associate Dean or Chair.

You will be paid three times during the semester by direct bank transfer (after the fifth week, the tenth week and upon submission of final grades, course files and CER assessments). The third payment requires the authorization of the School Dean.

If the contract is not signed by the fifth week, the payment will be on hold.

No additional remuneration will be paid for the preparation of teaching materials, marking, or attendance at faculty meetings or university functions. Details of remuneration are to be treated as confidential.

Except in cases of prolonged illness or extreme hardship, failure to complete a semester will result in denial of remuneration for the semester in which the non-completion occurs.

### **Timetable**

<b>Course Number</b>	<b>Days</b>	<b>Time</b>
TBA	TBA	TBA

### **Miscellaneous**

An Instructor is considered to have fulfilled his or her responsibilities provided that:

1. Grades have been recorded in the Registrar's Office within the specified time.
2. The Registrar's Office has your class register(s) containing an explanation of your attendance and grading policies and all grades issued during the semester for completed work.
3. The Registrar's Office has a copy of your detailed course syllabus and grade distribution report.
4. The HR office should have your updated C.V., passport copy, original transcripts and a copy of your diploma. Failure to provide the above within the first semester may lead to non-continuance of engagement.

By signing this contract, you agree to honor its terms and acknowledge acceptance of the university's policies as contained in the *Faculty Handbook*. Additional policies concerning public statements, confidentiality and grievance procedures are attached and should be considered a part of this contract.

Please indicate your acceptance of this agreement by signing both this letter and the attached duplicate and returning them to me at your earliest convenience. I would also like to take this opportunity to welcome you (back) to the American University in Dubai. We feel you are/will be a definite asset to the Institution.

Sincerely,

President

I accept and agree to abide by the above Terms and Conditions, which govern my employment at The American University in Dubai.

☐ Signed      ☐ Date

Position: Adjunct Instructor in ☐

### **Attachment**

#### ***Confidential Information***

You shall not, except as authorized or required by your duties hereunder, use for your own or another's benefit or gain, or reveal to any person or persons, firm or company or other organization whatsoever, any confidential information relating to or belonging to The American University in Dubai as a whole, or relating to its customers (including but not limited to any trade secrets, formulations, products, developments, customer information, business and dealings of the Institution, services provided by the Institution, financial information, pricing structures, transactions or affairs of the Institution) which may come to your knowledge during your employment.

#### ***Communication***

The university asks employees in their communication ("communication" is defined as any verbal, written or virtual public diffusion of information – including but not limited to that in mass media such as traditional media, email, websites, blogs, social media, etc. and audiovisual material such as videos, photos, etc.) to be sensitive, especially with respect to issues of religion and politics, to the cultural and societal norms of the Emirates and the Gulf Region. Employees are warned that communication deemed to be offensive to the local community could be grounds for immediate termination under article 120 of the U.A.E. labour law. Further, no employee in their capacity as an AUD faculty or staff member, should make or agree to issue, in any form, whether written or by other means, any communication without the prior consent of the university, specifically the Office of Communications.

***Disciplinary Rules and Procedures***

The university expects and will enforce reasonable standards of conduct, performance and discipline from its staff members. Faculty members are expected to enforce the university's academic policies; and those found negligent will be subject to disciplinary action. In the event that it is necessary to take formal disciplinary action, you will normally receive one formal written warning and one final written warning prior to dismissal. However, the university reserves the right to initiate this disciplinary action against you either at the final written warning stage or to dismiss summarily, depending on the seriousness of circumstances. For example, failure to enforce the university's protocol regarding the administration of examinations and deterrents to cheating/plagiarism is considered "serious" and hence subject to retaliatory dismissal.

***Academic Credentials***

Your appointment as a faculty member is made contingent upon a review of your academic credentials as represented by you. The university reserves the right to terminate this agreement should either the Institution or its accreditation bodies, The Commission on Colleges of the Southern Association of Colleges and Schools and the U.A.E. Ministry of Education – Higher Education Affairs, subsequently determine that your credentials are inappropriate for the university's educational Mission.

<b>FACULTY APPOINTMENT POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-04**

### **PURPOSE**

The purpose of this policy is to provide the standards for the appointment of faculty.

### **POLICY**

The Provost and Chief Academic Officer is responsible for the administration of AUD's Academic Affairs, provides guidance and support for all AUD academic operations and oversees AUD academic policy and long-range academic planning. The Provost and Chief Academic Officer oversees the appointment and promotion of all academic staff (Deans, Associate Dean, Chairs, Directors, and faculty members), chairs the Academic Council, serves on the Administrative Council, and chairs or is a member of various standing and ad hoc committees whose work impacts academic life at the university.

### ***Requirements for Level***

Each faculty level at AUD has distinct criteria regarding required degrees, years in level, and degree of performance in level. With few exceptions, the term "terminal degree" denotes the highest degree awarded in a discipline. The doctorate is the terminal degree for most disciplines. The Master of Fine Arts (M.F.A.), Master of Social Work (M.S.W.) and Master of Library Science (M.L.S.) are some of the degrees that are terminal but not doctorates.

### **Exceptions to the requirement of a terminal degree must be:**

- limited to applied fields (such as business administration) for a faculty member who has a Master's degree in the teaching field or a Ph.D. in a related field, and who also has extensive senior level experience in the applied field (such as corporate management or senior accountant) or experience in the applied field coupled with internationally recognized professional association certification (as in medical board certificate or Certified Public Accountant);
- fully justifiable in terms of education, training, and professional experience; and
- restricted to no more than 10% of the faculty members.

Teaching with a Master's degree is only approved in accordance with the exceptions allowed by the U.A.E. Ministry of Education – Higher Education Affairs CAA Standards.

These exceptions will be reported at the beginning of each semester for approval to the Commission for Academic Accreditation of the U.A.E. Ministry of Education – Higher Education Affairs. The report must include the faculty member's name, highest degree earned and conferring institution, area of specialization, justification for the exception, and descriptions of the courses assigned.

## FACULTY RANK APPOINTMENT

For newly appointed full-time faculty members with previous appointments in other organizations, AUD honors and acknowledges their academic and industry experiences by awarding them the rank they currently hold.

### Instructor

Instructor is an entry-level category at AUD

**Degree:** Minimum of a Master's degree

Teaching with a Master's degree is only approved in accordance with the exceptions allowed by the U.A.E. Ministry of Education – Higher Education Affairs CAA Standards.

**Years in Level:** No minimum specified

**Performance Criteria:** Candidates should demonstrate promise in achieving excellence in teaching.

### Assistant Professor

Assistant Professor is the primary entry-level category at AUD

**Degree:** Terminal degree for the discipline

**Years in Level:** No minimum specified unless the candidate was previously at the Instructor level at AUD: if the candidate was previously at the Instructor level at AUD, two years in level, including the year in which the advancement will be considered are required prior to application for advancement.

**Performance Criteria:** Candidates should demonstrate promise in achieving excellence in teaching, research, professional development, and service.

### Associate Professor

Associate Professor is the middle level at AUD

**Degree:** Terminal degree for the discipline

**Years in Level:** Candidates should have served at least four years at the Assistant Professor level, including the year when the advancement will be considered.

**Performance Criteria:** Candidates must show clear documentation of excellence in teaching, research, professional development and service, as described in the Criteria for Promotion. *At the discretion of the Provost and Chief Academic Officer, external peer review may be required as part of the evaluation process for promotion.*

### Professor

Professor is the senior level at AUD

**Degree:** Terminal degree for the discipline

**Years in Level:** Candidates should have served at least five years at the Associate Professor level, including the year in which the advancement will be considered.

**Performance Criteria:** Candidates must show clear documentation of high levels of achievement in teaching, research of significance to their discipline, professional development and service, as described in the Criteria for Promotion. *At the discretion of the Provost and Chief Academic Officer, external peer review may be required as part of the evaluation process for promotion.*

**Interpretation:** Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
April 2009	Policy	Added: Exceptions to terminal degrees
June 2009	Faculty Rank Appointment - Professor	Added: At the discretion of the Provost and Chief Academic Officer, external peer review may be required as part of the evaluation process for promotion.
January 31, 2019	Entire Policy	Updated to provide greater alignment to best practice

<b>AUD PROMOTION GUIDELINES</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	February 13, 2019

## **POLICY AD-FA-05**

### **Procedures for Promotion**

Candidates for advancement will prepare a dossier to document qualification for the desired rank. The dossier will consist of the following items:

- a cover letter summarizing the evidence supporting the candidate's request for advancement;
- a current Curriculum Vitae;
- documentation of excellence in the performance criteria;
- Suggestion of three names of peers to evaluate the candidate's research, scholarly or creative work

The dossier is submitted to the appropriate Dean, Associate Dean or Chair by **February 15** of the year in which the candidate wishes to be considered for advancement. The Dean, Associate Dean or Chair then solicits three external reviewers to evaluate the candidate's research, scholarly or creative work. After reviewing the complete dossier, the Dean, Associate Dean or Chair writes a reasoned recommendation for either approval or denial of the advancement, and forwards the recommendation and the dossier to the Provost no later than **April 15**. The Provost makes his decision after reviewing the faculty member's dossier, the Deans, Associate Dean and Chairs reasoned recommendation and the external reviews. The Provost sends his decision to the President for contractual ratification no later than **June 1**. The Provost notifies the faculty member of the decision in writing, no later than **June 15** (with copies to the faculty member's Dean, Associate Dean or Chair and to Human Resources). The advancement will take effect at the beginning of the following academic year. Dossiers that are not submitted according to this timeline will only be considered in the subsequent academic year.

### **Eligibility:**

Years at rank:

- Assistant to Associate Professor: minimum 4 years at rank (minimum one year completed at AUD)
- Associate to Full Professor: minimum 5 years at rank (minimum one year completed at AUD)

Eligible faculty applying for promotion will be evaluated in the areas of teaching, scholarly/creative work, and service according to the criteria laid out in this document and, where applicable, criteria required by the faculty member's school.

## Teaching Effectiveness:

Number	Areas
1.	Student course evaluations and overall grade distribution in light of School and department averages (the overall average across the period since last promotion is considered)**
2.	Performance of students on external uniform examinations or assessments from former students regarding candidate's instructional excellence
3.	Peer evaluations/Classroom observations
4.	Teaching and learning activities (within or outside AUD) <ul style="list-style-type: none"><li>■ Completion of Professional training or certification related to teaching</li><li>■ Participation in teaching workshops</li></ul>
5.	Innovative Pedagogy
6.	Curriculum development
7.	Training or leading workshops for faculty on pedagogy or assessment
8.	Involved in promoting Student Research or mentoring creative projects that win awards
9.	Student Advising
10.	Playing an active role in learning outcomes assessment by serving on an Assessment Committee <u>or</u> engaging in a systematic review of PLOs/ CLOs <u>or</u> contributing to accreditation efforts <u>or</u> contributing to mapping exercises, drafting of CLOs for a course(s) <u>or</u> coordinating learning outcomes assessment for a unit/ department/ program/ set of courses

**Note:** *although not included in the above list, all faculty will also be evaluated on their compliance in completing course files and CER reports, as part of university requirements.*

**\*\*Blue:** Submission of student course evaluations is required of all candidates applying for promotion

***\*Other contributions to teaching will be evaluated on a case by case basis by the School***

## Evidence:

Any of the above should be documented with evidence, including but not limited to: student evaluations, emails, official memos, minutes of meeting, relevant surveys, peer observations, certificates, letters, and university reports.

## Evaluation Criteria for Teaching:

- Demonstrated success and achievement in 5 out 10 areas: Good
- Demonstrated success and achievement in 6 out of 10 areas: Excellent
- Demonstrated success and achievement in 7 or more out of 10 areas: Exemplary



## Research, Scholarly and Creative Work

Research, scholarly, and creative activities are essential to the ongoing vitality of faculty's involvement in the learning process. Through self-enrichment, faculty members enhance their depth of knowledge, expertise, and perspectives on their disciplines and consequently augment their contribution to the classroom and the university community. Research, scholarly and creative contributions at AUD include: peer-reviewed publications, activities that involve studious inquiry, disciplinary examination, creative endeavors, contributions to the professional practice, new applications of theory, or experimental initiatives that nurture and advance the faculty member's disciplinary expertise. Scholarship is defined broadly to include disciplinary and interdisciplinary research, creative work, professional work and scholarship on pedagogy.

Candidates involved in scholarship should make a substantive contribution to the discipline that reflects high standards of quality in scholarship and professional competence. Those seeking promotion will be expected to demonstrate the relevance and significance of their research, creative, or professional work within their academic or professional community. Scholarly or creative work presented as evidence will be evaluated in the context of the norms and expectations within the scholar's disciplinary field, and a combination of the following criteria as relevant to the discipline in question:

- Peer review process
- The reputation of the publisher (at national, regional or international level)
- Reputation of the exhibition in the case of creative work
- Awards, data about viewers/ users, social media appeal, press releases and/or media attention
- The indexing of journals
- The impact of the publication or the creative or professional work where applicable
- Editorial board (members and the credibility this confers on the publication)
- Geographical scope/influence of the publication or the creative or professional work
- The range and types of publications (multiple publications in the same journal, for instance, may not be given the same weight as publishing in different journals)
- Consistent/ongoing pattern of publication or creative or professional work that contributes to a particular body of knowledge relevant to the scholar's discipline
- Peer evaluation of the candidate's research/creative/professional activities and overall contribution to the field of study

To receive an Exemplary rating in scholarship, a candidate for promotion should demonstrate a pattern of accomplishment that is distinguished, one through which the candidate has earned a national, regional and/or international reputation. A rating of Excellent requires a pattern of accomplishment that indicates substantial progress toward a national, regional and/or international reputation. A rating of Good requires a pattern of ongoing scholarly activity and a significant contribution to scholarship in the candidate's field.

**Categories of scholarly and creative work with equivalent points include:**

<b>Category A 1-4 scholarly activity points (BOOKS SINGLE AUTHOR/ EDITOR)</b>
Book-length research monograph, single author
Book-length translation or critical edition, single author
Book-length creative writing work, single author
Textbook in field, single author
Editor of a book-length collection of articles, with authorship of a chapter (or article) <u>and</u> an introduction
<b>Category B 2-3 scholarly activity points (BOOKS JOINT AUTHORS/ EDITORS)</b>
Book-length research monograph, joint author
Book-length translation or critical edition, joint author
Book-length creative writing work, joint author
Textbook in field, joint author
Joint editor of a book-length collection of articles, with authorship of a chapter/ article <u>or</u> a significant introduction
<b>Category C 1-1 ½ scholarly activity points (POEMS, SHORT STORIES, LITERARY ESSAYS)</b>
Publication of creative-writing work(e.g., short story, poetry collection, literary essay) in a recognized literary publication
<b>Category D 1-3 scholarly activity points (ACADEMIC JOURNALS)</b>
Article in an academic journal listed in Scopus or other reputable database (such as ABDC, Financial Times, ABS, SJR, JCR, or other reputable bibliometric database)
Academic Article in a foreign language journal that is peer-reviewed and regionally respected
<b>Category E 1-2 scholarly activity points (OTHER PUBLICATIONS/ APPLICATIONS)</b>
Chapter in a Textbook or Book
Encyclopedia article
Policy brief or report
Published translation (article length) in a refereed venue
Teaching cases (available in the public domain)
Development of software, algorithms, new applications or methodologies adopted by industry or academia
Article-length paper in refereed conference proceedings
<b>Category F ½-1 scholarly activity point (PROFESSIONAL RESEARCH CONTRIBUTIONS)</b>
Book review in a journal
Peer reviewed conference presentation
Papers blind-reviewed for refereed journal, conference, or other universities
Discussant/session chairs at refereed conferences
Externally funded research (can be awarded up to 1 point depending on the grant)

<b>Category G 1-4 scholarly activity points for each activity (CREATIVE WORK)</b>
Creative Work (in the fields of art, design, architecture, media & communication)
Dissemination of Creative Work
Creative Role in a short, feature or documentary film or in a TV or Radio drama or show/podcast broadcast
Oversight of a Professional Entity

*\*\*Other publications or creative works will be evaluated on a case by case basis by the School*

### **Evaluation Criteria for Research, Scholarly and Creative Work:**

Points are allocated based on the quality of the candidate's work and determined according to school criteria and feedback received from external reviewers. Thus, publications that do not meet the criteria and/or receive negative evaluation from external reviewers may not be awarded points. In regard to published works, only works in press or works accepted for publication since the time of last promotion are evaluated at the time of application to promotion. The following criteria outline the minimum expectations at the university level for rating promotion candidates as 'Good', 'Excellent', or 'Exemplary'. Additional discipline specific criteria, including appropriate or required publication/creative/professional venues, are provided by each School.

- Assistant to Associate Professor
  - Up to 4 points= Good
  - 5-7 points = Excellent
  - 8 or more points = Exemplary
- Associate to Full Professor (points calculated since last promotion)
  - Up to 6 points= Good
  - 7-8 points = Excellent
  - 9 or more points = Exemplary

**Service:**

Number	Area of Service
1.	Committee/ task force Service on average at least 2 committees per year since last promotion
2.***	Fulfilling administrative responsibilities at the School level (i.e. Associate Dean, Assistant Dean, Chair or Coordinator)
3.	Student Clubs or Activities; mentoring/ supporting student public service work
4.	Organizing,developing, participating, directing or implementing faculty or staff development activities and/or university special events; promoting the university both internally and externally
5.	Representing the university in a public media forum
6.	Engaging in community outreach activities or involvement in training of local government or community groups
7.	Engaging in international humanitarian work or similar activities
8.	Communicating in popular and non-academic publications or media; technical reports; and expert testimony
9.	Service to the Profession/ Unpaid consulting work

***\*Other types of service will be evaluated on a case-by-case basis by the School***

\*\*\* **Blue:** Depending on the scope of administrative work and responsibilities, this category could be given greater weight

**Evidence:**

Any of the above should be documented with evidence, including but not limited to: emails, official memos, newspaper articles, web links, minutes of meeting, relevant surveys, certificates/ awards, letters, and university reports.

**Evaluation Criteria for Service:**

- Demonstrated sustained engagement in 3 out of the 9 areas of service = (Good)
- Demonstrated sustained engagement in 4 out of the 9 areas of service = (Excellent)
- Demonstrated sustained engagement in 5 or more out of the 9 areas of service= (Exemplary)

## OVERALL EVALUATION:

- **Assistant Professor to Associate Professor**

Successful candidates for promotion to the rank of Associate Professor must be 'Exemplary' in teaching, 'Excellent' in scholarship, with service evaluated at 'Good' or above.

- **Associate Professor to Full Professor**

Successful candidates for promotion to the rank of professor must be judged 'Exemplary' in teaching and scholarship and 'Excellent' in service.

Rank	Teaching	Research/Scholarly/Creative Work	Service
Associate Professor	Exemplary	Excellent	Good
Professor	Exemplary	Exemplary	Excellent

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

### SUMMARY OF CHANGES

Date	Section	Change
June 27, 2018		Updated to align with current practices and include additional categories.

<b>ADJUNCT FACULTY EVALUATION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

**POLICY AD-FA-06**

## **PURPOSE**

The purpose of this policy is to provide guiding principles for the evaluation of adjunct faculty.

## **POLICY**

Adjunct faculty are employed on a semester-by-semester basis. The primary responsibility of adjunct faculty is teaching which includes student counseling and some administrative duties. Adjunct faculty members are evaluated by students at the end of each semester and once a year by his/her supervisor.

## **PROCEDURES**

### **Evaluation of Instruction by Students**

At the conclusion of each term, students are asked to complete a course evaluation. This survey evaluates the instructor and the course concerning key course concepts, course materials and instructional effectiveness. The results of student evaluations of instructors are used to provide faculty feedback to initiate changes in teaching methods/styles and to modify curriculum/approaches to classroom management, if necessary.

### **Evaluation by Supervisor**

On a periodic basis, the Provost and Chief Academic Officer, Deans, Associate Deans or Chairs evaluate part-time faculty members. Written forms are used to evaluate all academic personnel based on specific criteria. The results of evaluations by supervisors are used for extending future contracts.

## **Criteria**

### **Evidence of instructional effectiveness**

- The instructor shall give evidence of ability and commitment to lead students of varying capabilities into a growing understanding of the subject matter, tools, and materials of their disciplines.
- The instructor shall demonstrate a continuing concern for instructional effectiveness through methods of presentation and evaluation of students.
- The instructor shall demonstrate the willingness and ability to counsel students.
- In support of instructional effectiveness, an instructor must maintain a high level of knowledge and expertise in the discipline or area of specialization.
- The instructor should be prompt when responding to administrative requirements such as reporting grades, completing course evaluations, and completing course files.

**Interpretation:** Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 01, 2019		Updated to align with current practices and include additional categories.

## Adjunct Faculty Performance Evaluation Form

Section A. Adjunct Faculty Employment Information	
Employee Name/Title:	Academic Term and Year of Evaluation:
School/Department or Program:	Reviewer (Dean, Program Chair, Department Chair):
Current Review Period From (Mo./Yr.) to (Mo./Yr.):	Date:

Section B. Employee Acknowledgement (to be signed when document is completed)	
Employee's Signature	Date:
Reviewer's Signature	Date:

Section C: List of Courses Taught, During Period of This Review (to be completed by Adjunct	
1.	4.
2.	5.
3.	6.



**Section D. Teaching Effectiveness:** Provide your evaluation of the faculty member's teaching effectiveness, from course

	Unsatisfactory (1.0)	Below Expectations (2.0)	Meets Expectations (3.0)	Exceeds Expectations (4.0)
Reviewer's overall score for teaching performance				
Reviewer's Comments Strengths:				
Weaknesses/Needed Improvements:				

**Section E. Innovation In The Classroom:** Provide your evaluation of the faculty member's level of

[illegible]

**Section F. Promptness and Reliability:** Provide your evaluation of the faculty member's level of

[illegible]

<b>FACULTY SALARY INCREASE POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

**POLICY AD-FA-07**

## **PURPOSE**

The purpose of this policy is to provide guidelines for salary increase for full-time and adjunct faculty.

## **POLICY**

Annual increases for faculty are not guaranteed and are based on both the employee's performance as well as the university meeting its performance objectives.

## **PROCEDURE**

### **Full-time Faculty**

Information about salary scales is available at HR upon the request of any faculty member. Annual increases for fulltime faculty members are not guaranteed and are based on both the employee's performance as well as the university meeting its performance objectives. The exact amount of (any) salary increase is determined by correlating the annual rating achieved by the employee (see table below) during the employee's annual appraisal with the respective % increase set by the university for that rating.

Salary increases are effective in January for full-time faculty members.

<b><i>Faculty Member's Annual Rating</i></b>	<b><i>Merit Increase</i></b>
Composite Score below 3.00	Zero
Composite Score between 3.00 and 3.33 inclusive	Lowest Tier
Composite Score between 3.34 and 3.66 inclusive	Middle Tier
Composite Score between 3.67 and 4.00 inclusive	Top Tier

Promotion in rank automatically leads to an increase in salary as determined by AUD's respective salary scales. These scales are available from the Human Resources Office upon request.

### **Adjunct Faculty**

Adjunct faculty members are typically compensated AED 4,000 per instructional credit.

### **Adjunct Faculty - IELP**

Adjunct faculty members teaching in the Intensive English Language Program (IELP) are compensated per course/term taught. Currently, there are three tiers set for these adjunct faculty pay rates.

Adjunct faculty members who teach IELP are compensated at Tier 1 when they begin their tenure at AUD. They are eligible to receive the salary cited for Tier 2 if all of the following criteria are met:

- have taught at AUD for two years;
- have taught two terms including summer, in each of those academic years;
- have taught at least two classes in each of the two academic years; and
- have received a satisfactory appraisal from their supervisor over the two-year term.

Adjunct faculty members who teach IELP are eligible to receive the salary cited for Tier 3 if all of the following criteria are met:

- have been at Tier 2 for two years;
- have taught two terms, including summer, in each of those academic years;
- have taught at least two classes in each of the two academic years; and,
- have received a satisfactory appraisal from their supervisor over the two-year term.

**Interpretation:** Provost and Chief Academic Officer, Deans and Chairs

**Ownership:** President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change

<b>FACULTY/STAFF RECOGNITION POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

**POLICY AD-FA-08**

## **PURPOSE**

The purpose of this policy is to describe AUD's faculty recognition categories and their evaluation criteria.

### **President's Award for Teaching Excellence**

Awarded to the faculty member who has contributed to the university through extraordinary performance as a teacher. Evaluation criteria include service to students/mentoring outside the classroom.

### **President's Award for Institutional Effectiveness**

Awarded annually to a faculty or staff member for a superlative contribution to AUD's institutional effectiveness initiatives. The basis for this Award will be an outstanding achievement within the IE sphere (e.g., assessment/measurement, continuous improvement, strategy formulation, establishment of learning outcomes, etc.) resulting in a significant enhancement in the achievement of AUD's Mission.

### **President's Award for Distinguished Service**

Awarded to a faculty or staff member who has made significant ongoing contributions to AUD above and beyond the call of duty. The selected faculty or staff member is one whose impact on the institution is formidable and universally recognized.

### **Provost and Chief Academic Officer's Award for Innovation in Teaching**

#### ***Examples***

- Development and use of an innovative methodology in teaching and learning (e.g., new in-class and out of class learning activities; incorporation of new practical, applied or experimental components into course delivery and student learning; etc.)
- Innovative redesign of an existing course
- Development of a new course that is unique in the discipline
- Development and use of new material authored or created by the instructor (cases, problem sets, visuals, slides, etc.)
- Adoption and use of a new technology or an innovative use of existing technology in teaching and Learning

#### ***Evaluation Criteria***

- Evidence of effective use of the innovation to enhance student learning
- Support for the innovation by academics, both within and outside AUD, and by professionals in the discipline
- Potential for continued use and long-term impact of the innovation on teaching and learning

## **Provost and Chief Academic Officer's Award for Outstanding Research**

### ***Examples***

- Research papers authored or coauthored by the faculty member, presented at refereed academic or professional conferences, workshops, symposiums, meetings of learned societies, or similar adjudicated events
- Research papers published or accepted for publication in refereed academic or professional journals
- Research published as a contribution to a compendium or reference work in the discipline, or as a chapter in an edited book of readings
- Inventions, discoveries, new research techniques and similar scientific accomplishments by the faculty member

### ***Evaluation Criteria***

- Track record of activity and productivity in research and scholarly work
- Originality and quality of the research or scholarly work
- Local and international recognition of the research or scholarly work
- Contribution of research to conceptual knowledge in the academic discipline
- Contribution of research to applications and practices in the professional discipline

## **Provost and Chief Academic Officer's Award for Creativity in Media, Design and the Visual Arts**

### ***Examples***

- Drawings
- Paintings
- Engravings
- Sculpture
- Photographic works
- Artistic illustrations
- Cartoons
- Typographic works
- Architectural designs
- Scripts,
- Films,
- News reporting
- Other similar works

### ***Evaluation Criteria***

- Originality of the creative work
- Evidence of local and international recognition of the creative work such as participation in local and international exhibitions, displays, competitions, etc., and/or presentation at adjudicated conferences and/or publication in adjudicated journals
- Evidence (e.g., through media coverage) of cultural and social significance of the creative work and its impact on the human experience and on public opinion

## **Provost and Chief Academic Officer's Award for Outstanding Literary Achievement**

### ***Examples***

- Fiction
- Poetry
- Romance
- Spirituality
- Literary criticism
- Interpretation of literary works
- Social criticism
- Philosophy
- Plays
- Biographies
- Anthologies

### ***Evaluation Criteria***

- Originality of the literary work
- Evidence of local and international recognition of the literary work such as interviews with the author, discussions in the media, citations, participation in local and international literary competitions and contests, presentations at adjudicated literary events, publication in adjudicated journals
- Evidence (e.g., through media coverage) of cultural and social significance of the literary work and its impact on the human experience and on public opinion

## **Provost and Chief Academic Officer's Award for Professional Engagement and Community Outreach**

### ***Examples***

- Leadership of and/or active and productive involvement in reputable professional bodies
- Significant contributions to professional practice
- Leadership of or significant participation in initiatives for social, environmental or charitable causes (organization, fund raising, spreading awareness, etc.)
- Relationship-building initiatives with academic, corporate, not-for-profit, government and professional organizations

### ***Evaluation Criteria***

- Evidence of contribution to advancing the achievement of AUD's mission and purpose-related goals and enhancing AUD's name and reputation
- Evidence of positive impact on teaching and learning (e.g., internship opportunities for students, professional certification opportunities for faculty and students, research grants and professional consulting opportunities for faculty, etc.)
- Evidence (e.g., through media coverage) of external recognition of the significance and success of the engagement or outreach in advancing social, environmental or charitable causes

### ***Eligibility***

All full-time faculty members who have been employed by The American University in Dubai for at least one full academic year are eligible to participate in the competition for the above awards.

### **Procedures for Submission of Entries**

Faculty members interested in submitting their works for evaluation under any of the four award categories should follow the procedure described below.

1. Write a letter of application to the Provost and Chief Academic Officer describing the work to be entered into the competition and specifying the award for which the work is to be considered.
2. At the bottom of the application letter, include the following endorsement statement: "I endorse this application" and ask the academic unit head (Dean, Associate Dean or Chair) to sign endorsing the application.
3. Attach the work being entered (article, research paper, document, visuals, cases, drawing, design, book, etc.).
4. Attach a file containing evidence on how the work satisfies the evaluation criteria for the award.
5. Submit items 1 - 4 to the Office of the Provost and Chief Academic Officer) not later than the specified deadline.

The deadline for application to the Provost and Chief Academic Officer's Awards can be found in the Faculty Handbook of that Academic Year and/or the Academic Affairs Calendar.

### **Evaluation Procedure**

The Provost and Chief Academic Officer's Annual Awards Advisory Committee will be chaired by the Provost and Chief Academic Officer and will consist of one full-time faculty member (to be nominated by the Dean, Associate Dean or Chair) from each of the following academic units:

- School of Architecture, Art and Design
- School of Arts and Sciences
- School of Business Administration
- Mohammed Bin Rashid School for Communication
- School of Education
- School of Engineering



The Committee will meet in Spring semester to evaluate all entries according to the criteria for each award and recommend an award winner in each category. The Committee must complete the evaluation process and recommend award winners by end-April of the year under consideration. The Provost and Chief Academic Officer will review the Advisory Committee's recommendations and will make the final selection of award winners. The Provost and Chief Academic Officer may decide that there is no winner for one or more of the awards.

**Interpretation:** President and Provost and Chief Academic Officer

**Ownership:** President and Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
May 18, 2013	Evaluation Procedure	Updated list of academic units
January 31, 2019	Entire Policy	Updated to align with current practices and include additional categories.

<b>TERMINATION OF FACULTY APPOINTMENT POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

**POLICY AD-FA-09**

## **PURPOSE**

The purpose of this policy is to provide the guidelines for the termination of faculty appointments.

## **POLICY**

Termination of appointment of any faculty member prior to the conclusion of an assigned course or term may be based on any of the following (these reasons may also be found in the *AUD Personnel Policies and Procedures Manual*):

- falsification of information or making a material omission on forms, records or reports;
- dishonesty with or falsification of any institutional records;
- use of university resources, equipment or time to advance outside employment;
- crimes connected with or misuse of funds (including accepting payment for favors rendered);
- involvement in any illegal activities on university premises or in connection with university business;
- unlawful or improper conduct on or off university premises or during nonworking hours that affect the faculty member's relationship to his or her position with the university, fellow employees, students, or the university's service, property, reputation or goodwill in the community;
- academic cause, which means service falling significantly below the standard that the university may reasonably expect of a person holding the academic rank obtained;
- willful damage to university property or the property of other employees, students or visitors, or defacing, destroying, or removing university posted signs or notices;
- personal conduct detrimental to university morale;
- bona fide financial exigency of the university;
- personal conduct in flagrant conflict with the purpose of teaching and scholarship or the purpose and goals of the university.
- any reason as specified in Article 120 (below) of the U.A.E. Labor Law – Federal Law No 8.
  - if the employee adopts a false identity or nationality or submits forged certificates or documents;
  - if the employee is engaged on probation and is dismissed during the probationary or upon its expiry;
  - if the employee makes a mistake resulting in substantial material loss for the employer, on condition that the latter notifies labor department of the incident within 48 hours of his becoming aware of its occurrence;
  - if the employee disobeys instructions respecting industrial safety of the workplace, on condition that such instructions are in writing and have been posted up at a conspicuous place and, in the case of an illiterate employee, that he or she has been acquainted with them orally;

- if the employee does not perform his or her basic duties under the contract of employment and persist in violating them despite the fact that he or she has been the subject of a written investigation for this reason and that he or she has been warned that he or she will be dismissed if such behavior continues;
- if the employee reveals any secret of the establishment in which he or she is employed;
- if the employee is finally sentenced by a competent court for an offence involving honor, honesty or public morals;
- if the employee is found in a state of drunkenness or under the influence of a drug during working hours;
- if, while working the employee (verbally or physically) assaults the employer, the responsible manager or any of his or her work mates;
- if the employee absents from his or her work without a valid reason for more than 20 nonconsecutive days, or more than seven consecutive days.

### **Procedure for Appeal**

*This appeal procedure does not apply to cases where the university exercises its contractual right to terminate a faculty member's employment during his/her probation period, or not to renew a faculty member's employment when his/her contract expires.*

Full-time faculty members (excluding visiting faculty members) whose employment is terminated before expiry of their three-year or other limited-term contracts, as well as those on an open contract, whose employment is terminated before the contractual termination dates stated in the open contract letter may appeal the termination decision *in writing to the Provost and Chief Academic Officer within 30 days from the date of the letter informing them of contract termination.*

The Provost and Chief Academic Officer will form a Grievance Committee consisting of a Dean of a school other than the school in which the grievant is a faculty member, and two full-time faculty members who (1) have been in AUD's employ for at least two academic years and (2) are not members of the same school as the grievant.

*The Grievance Committee will meet within ten business days from receipt of the appeal by the Provost and Chief Academic Officer.* The Provost and Chief Academic Officer, ex officio, will chair the Grievance Committee but will not vote. The Committee will invite the Dean of the grievant's school and the grievant, respectively, to present their cases together with any supporting evidence or documentation. At the grievant's request, a faculty or staff member may attend the meeting and counsel the grievant.

The Committee will review the information and evidence made available to it by both parties and, following deliberation, will reach a decision using a vote by secret ballot. *The Provost and Chief Academic Officer will inform the grievant of the decision in writing within three business days.*

If the Grievance Committee decision is to deny the appeal, *the grievant may appeal to the President in writing within ten business days of the Grievance Committee's ruling.* The President's reasoned decision is final and will be communicated to the grievant in writing within ten business days with a copy to the Provost and Chief Academic Officer.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Procedure for Appeal	Added: In all cases of appeal, the final decision rests with the President who will only consider appeals received within 15 days of the Committee's ruling.
January 31, 2019	Entire Policy	Updated to provide greater alignment with current best practices

<b>SUPERVISION OF ADJUNCT FACULTY POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-10**

### **PURPOSE**

The purpose of this policy is to provide guidelines for the supervision of adjunct faculty by academic unit heads.

### **POLICY**

Deans, Associate Deans, and Chairs are expected to supervise and guide adjunct faculty members teaching in their academic units throughout the term.

### **PROCEDURE**

Adjunct teaching supervision, monitoring and coaching may include the following:

- Reviewing course syllabus not later than the first week of classes (preferably before the semester or term begins) to ensure that:
  - the syllabus conforms fully to the standard AUD format for syllabi and that it includes all the required sections that must be part of every syllabus at AUD;
  - the information provided in the syllabus (e.g., attendance policy, academic integrity, etc.) is consistent with AUD's academic policies;
  - exams, quizzes, term papers, and other components of the final grade are included in the syllabus with their weights;
  - the weights are distributed in a balanced and reasonable way;
  - dates of important evaluation activities (mid-term exam, tests, presentations, etc.) are set in advance rather than left unstated in the syllabus;
  - the syllabus includes a schedule of topics/assignments to be covered each session for the full semester or summer term;
  - the topics to be covered in the course are consistent with the catalog course description and objectives;
  - requested adjustments or corrections to the syllabus should be promptly resubmitted to the Dean, Associate Dean or Chair before distributing it to students.
- Ensuring that adjuncts know how to use Blackboard™ and are actually posting course materials (syllabi, PowerPoint slides, exercises, readings, etc.) for use by students.
- Ensuring that the adjunct faculty delivers a completed quality course folders that meet AUD and accreditations and licensing requirements, in a timely fashion.
- Ensuring regularly (week by week) that:
  - the adjunct instructor is teaching all scheduled classes (i.e., there are no excessive, unexplained or unreported absences by the instructor);
  - prompt action is taken if an unreported absence is detected (call the adjunct to find out the reason and request that a make-up date be set and communicated to the students);

- the make-up class is actually made up on the set date;
- the adjunct instructor starts and ends every class on time and that prompt corrective action with the instructor is taken if a pattern of starting classes late and finishing early is detected.
- Visiting the adjunct instructor's class (this is especially important for newly appointed adjuncts) *as early in the semester as possible* (during the first two weeks of the semester; first week in summer) to assess the adjunct's:
  - knowledge of the subject;
  - preparedness for class;
  - teaching style and methods (e.g., use of examples, problems, discussion, etc.);
  - enthusiasm and ability to stimulate and excite students about the subject;
  - presentation skills, language proficiency, clarity of speech, written communication (use of the whiteboard), adequate use vs. excessive reliance on PowerPoint slides, etc.;
  - class management and control;
  - overall effectiveness in the classroom.
- Meeting with adjuncts early in the semester (during the first two weeks) to explain the specifics of academic integrity policy and its implementation, including:
  - detection of plagiarism and the availability of Turnitin™ software (and how to access and use this software) for this purpose;
  - the requirement that all faculty members, adjuncts included, follow closely and never deviate from the university's "*Guidelines for Managing Exams and Exam Rooms*;"
  - the requirement to report all actual or suspected acts of cheating or plagiarism promptly, with supporting evidence, to the Dean, Associate Dean or Chair of the adjunct's academic unit.
- Informing adjuncts about:
  - the requirement to grade all exams, tests, quizzes, presentations, etc., promptly;
  - students' right to review and discuss all graded work with the instructor;
  - the requirement to keep students informed of their performance in the course as the semester or term progresses, and that keeping students in the dark until the end of the semester or term, and submitting their grades only then is not acceptable.
- Reviewing the adjunct instructor's exam and test papers *before* they are given to students, to ensure that:
  - the questions are based on the subject matter covered in the course and are appropriate for the level of the course
  - the exam design (e.g., multiple choice, essay-type, mix of multiple choice and essay type, open book, etc.) is appropriate for the course;
  - the exam is original and is not a repeat of a past exam which may be available to students;
  - the exam does not consist of questions which were distributed to students in class or posted on Blackboard™;
  - sufficiently different versions of the exam, at the same level of difficulty, are administered in different sections of a course taught by the same instructor.

- Ensuring that:
  - mid-term and final exams are appropriately administered and properly proctored by the adjunct faculty member;
  - an arrangement is made with a full-time faculty member to co-proctor the exam if this is warranted by the number of students taking the exam or by classroom layout;
  - the adjunct faculty member adheres closely to the “Guidelines for Managing Exams and Exam Rooms;”
  - the Dean, Associate Dean or Chair monitors the progress of exams during final exam week by visiting classrooms, observing the manner in which exams are administered, and immediately correcting any deviations from the “Guidelines.”
- Acting diligently and promptly to:
  - resolve any problem and correct any behavior that is inconsistent with the contractual obligations of adjuncts, that deviates from the above expectations and, more generally, that deviates from professional and ethical behavior and best practices in higher education;
  - report such deviations and corrective action taken to the Office of the Provost and Chief Academic Officer.
- Providing an adjunct faculty Performance Evaluation as required by AUD policies

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	All	Review for consistency with best practices

<b>FACULTY EXPECTATIONS AND RESPONSIBILITIES</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-11**

### **PURPOSE**

The purpose of this policy is to describe the professional behavior and ethics that AUD expects from all its faculty members.

### **POLICY**

#### **Faculty Expectations**

The selection, development, and retention of competent faculty members are central in support of AUD's mission.

Each program strives to appoint faculty members who:

- possess the appropriate academic preparation required for the discipline;
- are trained educators, and/or experienced, active professionals;
- are committed to the purpose and goals of the university;
- are able to monitor and assess performance of student project teams;
- maintain currency in their subject areas;
- assist in the development and redesign of curriculum;
- accept assignments other than teaching duties (especially those related to accreditation and licensure);
- remain current in their disciplines and contribute to the development of these disciplines through scholarship and creative endeavor;
- adhere to AUD's academic standards as described in the Faculty and Student Handbooks;
- are fully aware of the contents of their contractual Agreement and honor the obligations to which they have committed.

Full-time faculty members have full-time contracts renewable at the discretion of the university and are accountable for a minimum of 40 hours per week, unless otherwise stipulated. They are primarily responsible for teaching. Other responsibilities include student contact, curriculum development, professional development, scholarship and/or creative activities and public service. Full-time faculty members are eligible to participate in the university's benefits program. Faculty members designated as full-time are appointed by the Deans, Associate Deans or Chairs with approval by the Provost and Chief Academic Officer.

Adjunct faculty members are employed on a semester-by-semester basis. The primary responsibility is teaching and some administrative duties. The Dean, Associate Dean or Chair appoints adjunct faculty members with approval by the Provost and Chief Academic Officer.



## **Requirements for Educational Supervision and Contact Hours**

In order to satisfy the requirements of our accreditation and approval agencies, it is important that faculty have knowledge of, and fulfill, the following rules as part of their teaching responsibilities:

- All faculty members must be present five working days before the beginning of classes and during the first week of the term unless excused in writing by the Provost and Chief Academic Officer;
- Faculty members are asked to be available in their offices on the Final Day for Advising and Registration prior to the start of the Fall and Spring semesters;
- Attendance at conferences during the week prior to the commencement of classes or during the first week of classes is discouraged and requires the explicit approval of the Provost and Chief Academic Officer;
- Classes must be held in accordance with the published class times and number of class meeting schedules;
- If a class is cancelled or missed (due to public holidays, faculty illness, and so on), the class must be made-up within the same term;
- Classes are not to be dismissed early unless an exam is scheduled;
- The Provost and Chief Academic Officer, Dean, Associate Dean and/or Chair should maintain a list of faculty members to be called as substitutes in the event that an emergency arises and the instructor of record cannot meet a class. Another faculty member or Dean may serve as a substitute, if necessary, depending on the subject area to be covered.

## Professional Ethics

Instructors at AUD are expected to:

- attend all classes assigned with adequate preparation of materials and content as described in the course description and syllabi;
- maintain confidentiality for private data related to students, faculty and staff;
- refer student personal issues to qualified student services staff members;
- maintain and honor office hours or appointments with students; check in regularly at the campus to obtain phone messages; respond within a reasonable time to phone messages from students and campus staff members;
- respect the integrity of students and avoid social encounters with students that might suggest misuse of power;
- not attempt to influence students' philosophy or their position concerning social and political issues;
- not ask students for personal information for research data without approval from the university;
- evaluate students' academic performance thoroughly and fairly;
- only accept teaching assignments for which they are qualified;
- present all sides of controversial issues;
- not promote outside entrepreneurial activities within the class setting;
- attend university orientations and other development activities presented for the improvement of their role as an instructor;
- avoid behavior that may be interpreted as discriminatory based upon gender, age, social status, or ethnic background;
- hold their colleagues and the university in the highest respect in their actions and communication within and outside the campus facilities;
- not engage in conversations with students about personal matters.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updated to provide greater alignment to best practice

FACULTY PRESENCE ON CAMPUS POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-12

### PURPOSE

The purpose of this policy is to describe faculty required presence in campus during the semester.

### POLICY

As a student-centered institution of higher learning, AUD has since its founding fostered a service culture based on a high level of student access to the university's academic, administrative and support staff. AUD's policy on working hours is perhaps the most direct expression of this service culture and its emphasis on accessibility.

From time to time, questions may arise regarding the purpose of the working hour policy and the manner in which it is expected to be applied by faculty members. This memo is intended to clarify the policy and explain how this policy can be applied while taking into account the requirements and needs of faculty members in a rapidly growing university with multiple demands and constraints on time.

Full-time faculty members, whose duties include teaching, student advising, committee work, counseling and more are normally expected to carry out these duties during the hours of 8:00 a.m. to 5:00 p.m., Sunday through Thursday (allowing for a one-hour lunch break). This adds up to 40 hours per week.

All full-time faculty members are required to hold office hours (10 per week, included in the 40-hour work week), to post their office hours outside their offices at the start of each term, and to include these office hours in their course syllabi. Office hours define the times during which students can expect to find, call or meet with faculty members in their offices for academic advising, assistance with course work, and other course-related purposes. As such, posted office hours are binding and are expected to be honored by faculty members.

Additionally, it is also consistent with AUD's service culture and desire for greater rather than less accessibility, that faculty members should not make themselves inaccessible outside of the posted office hours, especially when there are circumstances that call for such additional accessibility, and where being inaccessible outside of the posted office hours might be unreasonable or detrimental to students under those circumstances.

However, recognizing that a strict application of this policy is not always possible, given the special needs of its knowledge workers and the university (e.g., teaching beyond 5:00 p.m.), AUD has consistently deemed that a flexible approach in applying this policy is necessary, without of course compromising on its objectives.

This flexible approach is applied to university-related activities that necessitate faculty members not being on-campus during normal working hours. These activities may include, but are not limited to involvement in community outreach programs, networking, field trips, seminars, conferences, meetings and pertinent professional activities. In all such cases faculty members are expected to inform and seek prior approval from their academic unit head. Furthermore,

faculty members who instruct classes outside regular hours, are entitled to count such additional time as part of their 40 hours/week and make adjustments to the regular “8:00 - 5:00” timing.

While the above hopefully clarifies the reasons behind the presence policy, the manner in which it is applied and the need for flexibility in its application, there may, on occasion, be situations not covered within this policy. Faculty members should also obtain their academic unit head’s prior approval when such situations arise.

### **Faculty Absence or Delay**

Absences on the part of a faculty member, thereby forcing the cancellation of a class, are judged as a failure to respect the rights of AUD students. Recognizing that emergencies do occur, the faculty is required to make up any classes missed during the term. Faculty who cannot attend a regularly scheduled class should obtain a form from the Office of the Dean/Chair for scheduling the make-up day.

A faculty member is required to be present in the week prior to the commencement of classes and in the first week of classes in any term in which he/she is teaching.

There may be times when an instructor is delayed for class. The Administration requires that students wait 15 minutes after the scheduled beginning of the class for the instructor to appear. Should the instructor not appear within this 15-minute waiting period, the class is considered cancelled. Classes, which are cancelled due to instructor delay, will be made up.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updated to align with current practices

<b>FACULTY PROFESSIONAL DEVELOPMENT POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-13**

### **PURPOSE**

The purpose of this policy is to provide guidelines for professional development of all full-time faculty members.

### **POLICY**

While successful classroom instruction is considered the prime factor in appointment of the university's Deans, Associate Deans, Chairs, and faculty members, AUD encourages continuing professional growth.

Where appropriate, the university will provide faculty members with membership fees (in their area of expertise) for up to two professional organizations per year, to a total expense of US \$200 each. Faculty members' entitlement regarding subscriptions to professional literature (journals, magazines, etc.) and membership in professional associations is specified in faculty contracts.

When an effort has been made to secure a grant from an outside agency, the university will cooperate in any way possible.

Across all academic units, full-time faculty members are eligible to attend one local conference/workshop for every term in which they teach.

The eligibility to attend international conferences, professional meetings, seminars/workshops and other learning events varies per academic unit in terms of number and frequency. Financial support from AUD to attend such events will vary on a case-by-case basis, and entitlement will depend on the following criteria:

- the significance of the event within the target discipline and to the faculty member's professional development;
- whether or not the faculty member is presenting a refereed paper or has some other official role (e.g., session chair) in the event;
- the logistics of making up lost teaching time (if required);
- budgetary impact (i.e., only conferences for which funds have been allocated in the annual budget will be considered).

Faculty members are requested to apply to attend a conference no later than 45 days prior to travel. A Leave Request Form, accompanied by a purchase requisition and supporting documentation, should be submitted to the faculty member's Dean, Associate Dean or Chair for this purpose.

To the extent feasible, all Deans, Associate Dean and Chairs should present a list of proposed conferences with approximate costs in time for budget submission each year for all eligible faculty members. (Ordinarily, faculty members are not eligible to attend international conferences in their first year of service.)

Only those requests approved by the Dean, Associate Dean or Chair should be forwarded to the Provost and Chief Academic Officer for final authorization. If approved, the grants cover expenses associated with travel and conference registration fees up to a specified maximum, as determined in the budget. A faculty member may receive only one such grant in any given academic year. Purchase requisitions (supported by receipts, ticket stubs, etc.) must be filled out by all persons making trips in order to receive compensation from the university.

### **Release Time for Professional Development**

All full-time faculty members may miss two classes per semester for professional development with prior approval from their Dean, Associate Dean or Chair to attend professional development seminars. The Dean, Associate Dean or Chair is required to approve all professional development attendance, which involves missing classes.

Academic heads and full-time faculty members must not plan to attend local and international conferences, professional development courses, or to take part in study tours or other similar events during the week immediately preceding the start of term, through to the end of the first week of classes. AUD encourages and supports (per the terms of appointment) participation by eligible members of its academic community in such events. However, academic unit heads and faculty members should plan their attendance of such events well in advance and should select events whose timing does not fall within the two-week period straddling the start of term.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

<b>SUMMARY OF CHANGES</b>		
<b>Date</b>	<b>Section</b>	<b>Change</b>
January 31, 2019	Entire Policy	Updated to align with current best practices

<b>FACULTY STUDENT RELATIONS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-14**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for what constitutes appropriate relations between faculty and students.

### **POLICY**

#### **Fraternization with Students**

It is the role of faculty and staff to serve students by helping them to achieve their personal, academic and professional goals. It is important that the employees of AUD establish and maintain high standards of respect, cooperation and flexibility in the implementation of policies, which can provide an optimal context for learning and growth. Employees of AUD are required to maintain at all times professional relations with students and to avoid personal relationships that may compromise the students' educational experience. AUD strongly objects to employees becoming personally or socially involved with students in any way other than social courtesy, professional relation, and university-related integration. Fraternization with students is not in the best interest of the students nor that of AUD. Employees who disregard this policy subject themselves to disciplinary action, up to and including termination. "Students" are defined as all students currently enrolled at AUD, including the period during their internships. "Fraternization" includes any social involvement, whether on-campus or off-campus, and any personal or emotional involvement with students. Faculty members should take note that any discussion with students regarding their contractual agreement with AUD could be grounds for immediate dismissal.

#### **Private Employment of Students by Faculty**

Faculty members may not retain the services of students on a private basis, i.e., for purposes that are not related to the students' studies at AUD. This rule applies regardless of whether the students are or are not paid for their services. Exceptions to this rule require prior approval and must be submitted on a special form available from the Office of the Provost and Chief Academic Officer. The request must specify clearly the purpose, nature and duration of the services to be provided by the student, and the compensation (if any). Additional information about the courses which the student has taken, is taking, or might take with the faculty member in the future must also be provided. The Provost will determine whether a potential conflict of interest exists and will decide whether to grant or deny the request for an exception to this rule.

### Instruction of Relatives

Students who are relatives of a faculty member may not enroll in courses (including labs and studios) taught by that faculty member, as this would constitute an obvious conflict of interest. Each faculty member is responsible for ensuring that this rule is applied and is expected to inform students to whom he or she is related to that they may not enroll in courses taught by the faculty member. In cases where a student needs to take a course that is only taught by a faculty member who is a relative, the faculty member must instruct the student to contact the Dean, Associate Dean or Chair of the academic unit offering the course and work out an appropriate arrangement to take the course with another faculty member, either in the same semester or term or at a later point. Clarification of or assistance in resolving such cases may be sought from the Office of the Provost and Chief Academic Officer.

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change



ACADEMIC FREEDOM POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-15

### POLICY

Academic freedom is the freedom for faculty members to discuss all relevant matters in the classroom, to pursue other professional academic activities related to student learning and research, and to explore all avenues of inquiry, learning and instruction in an institution of higher learning. This freedom also extends to students as they engage in learning activities and inquiry related to those activities. However, academic freedom is accompanied by academic responsibility, which, for faculty members, implies faithful performance of assigned academic duties and obligations including a presentation of course content that meets the requirements and learning objectives of each course. For both faculty and students, responsible exercise of academic freedom involves adherence to the highest standards of academic integrity in all teaching, learning and research-related activities. Academic responsibility also requires that faculty members make clear that they are not speaking for the institution, unless expressly authorized to do so by AUD, particularly in areas of politics, topics related to religious beliefs, and commercial endorsements. Faculty members and students should at all times act with integrity, express themselves within the confines of law and competent authority, show respect for the rights of others to hold differing opinions, be accurate, exercise appropriate restraint, be culturally sensitive, and make every effort to indicate that statements they make express their own views and not those of AUD.

The American University in Dubai recognizes and will uphold for all its faculty members, full-time and adjunct, and for its students, the freedom to pursue knowledge wherever it may lead, the freedom to test received wisdom, and the freedom to research, review and put forward new, controversial, or unpopular ideas or opinions within the standards of academic integrity, scholarly inquiry and professional ethics, without interference and without placing themselves in jeopardy—of losing their jobs or any of their rights or privileges as AUD faculty members, or of academic detriment or penalty as students. A faculty member or student who believes his or her academic freedom has not been protected due to violation of this Statement may seek redress by filing a grievance with the Grievance Officer. The grievance process described in the *Graduate/Undergraduate Catalogs; Faculty and Student Handbooks and Personnel Policies and Procedures Manual* will apply to the processing of grievances related to academic freedom.

**Interpretation:** Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updated to provide greater alignment with best practice

ANNUAL LEAVE/RELEASE TIME POLICY	
Effective Date	Fall 2008
Date of Last Update	January 15, 2019

## POLICY AD-FA-16

### PURPOSE

The purpose of this policy is to provide guidelines for faculty annual leave and release time.

### POLICY

Faculty are entitled to 44 workdays of annual leave/release time for professional development, per completed year of service. These two months are split as one calendar month (22 workdays) annual leave and one calendar month (22 workdays) release time.

### PROCEDURE

Faculty members who are on a 12 month contract are expected to take seven days of leave (with the approval of the Dean or Chair) prior to the beginning of the Summer I session. This is because it is not possible to take all 44 days during a single summer session and be back on campus the required one week before the beginning of the Fall term. Faculty members should note that any vacation time not taken by the end of the academic year does not carry forward to the subsequent academic year.

**Interpretation:** Director of Human Resources

**Ownership:** Executive Vice-President

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Procedure	All
January 2019	Procedure	Review and update of the Procedure section

TEXTBOOK CHANGE POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-17

### PURPOSE

The purpose of this policy is to fulfill the needs of faculty and students, within the context of the infrastructure for textbook acquisition and ordering prevailing in the Middle East.

### POLICY

Each academic unit is encouraged to have a textbook committee or other mechanism through which textbook selection can be deliberated/discussed. It is the university's goal to maintain as much continuity in textbook usage as possible.

### Textbook Change

Should a faculty member wish to change the textbook assigned to a course, he or she may propose such a change to his/her Dean, Associate Dean or Chair once a year by April 1 (for implementation in the Fall term of the subsequent academic year). If approved by the Dean, Associate Dean or Chair, the form is forwarded to the Provost and Chief Academic Officer for final review and approval. After approval, the form will be sent to Administrative Assistant, Executive Vice President, Mrs. Aline Otaki (extension 110).

### Forms

Forms for proposed textbook changes will be distributed to all Deans, Associate Deans or Chairs.

### Exceptions

The university is sensitive to circumstances, which may call for a change in textbook outside the framework presented above. Changes in curriculum, lengthy gaps between the offering of courses, etc. are examples of such conditions and would call for an exception to Policy.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Rewritten to bring currency to content.

<b>COURSE SYLLABI POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 15, 2019

## **POLICY AD-FA-18**

### **PURPOSE**

The purpose of this policy is to provide guidelines for the creation and distribution of course syllabi.

### **POLICY**

The syllabi serve as a guide to course content and expected student outcomes and acts as a contract between instructor and student. Faculty are expected to adhere to the syllabus and avoid mid-course changes, especially with regard to assessment policy. Each instructor is asked to submit any changes he/she would like to make in the syllabus for his/her classes to the Dean/Program Chair. Adjuncts are requested to follow the syllabi or receive permission to change it from the Dean/Associate Dean/Chair.

### **PROCEDURE**

Each term, Deans, Associate Deans or Chairs submit to the Office of the Provost and Chief Academic Officer a syllabus for each faculty member for each course(s) being taught. The syllabi serve as a guide to course content and expected student outcomes. In effect, the syllabus acts as a contract between instructor and student. Faculty members are expected to adhere to the syllabus and avoid mid-course changes, especially with regard to assessment policy. Each instructor is asked to submit any changes he or she would like to make in the syllabus for his or her classes to the Dean, Associate Dean or Chair. Adjuncts are requested to follow the syllabi or receive permission to change it from the Dean, Associate Dean or Chair. This procedure ensures that Academic Affairs has information on file pertaining to course content, materials, scheduled examinations, term papers, attendance policy, etc.

A copy of the course syllabus is distributed to all students enrolled in the course the first week of the new term.

### **THE SYLLABUS**

Each instructor is responsible for following the AUD Syllabus Template. In addition to instructor contact information, the syllabus must contain:

- course title and course code/number, credit hours, prerequisites (if any), co-requisites (if any);
- name, contact information and office hours of the current instructor;
- brief course description;
- intended learning outcomes of the course;
- course topics and contents on a week-by-week basis;
- out-of-class assignments with due dates for submission;
- methods and dates of examinations and other student assessments, including the relative weight of various elements in determining the course grade;
- teaching and learning methodologies, including the use of online instruction;
- course texts, recommended reading, instructional material and learning resources;
- attendance policy (including criteria for assessing class participation).

**Interpretation:** Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
8 Mar 2010	Procedure	Additional guidelines for syllabi added to match CAA Standards.
18 May 2013	Procedure and the syllabus	Additional guidelines for syllabi added to match CAA standards
January 15, 2019	Entire Policy	Rewritten to align to standards

FACULTY MEETINGS POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-19

### PURPOSE

The purpose of this policy is to provide directives for faculty meetings attendance.

### POLICY

#### General Faculty Meetings

A general faculty meeting is usually held during each semester of the academic year. Attendance is mandatory for Deans, Associate Deans and Chairs and faculty members (full-time) unless excused by the Provost and Chief Academic Officer. Adjunct faculty members are invited to these meetings. Deans, Associate Deans and Chairs hold departmental meetings during each term on an as needed basis.

The presence at any meeting of one more than half of the faculty members constitutes a quorum for the transaction of business at that meeting.

Institutional public announcements of decisions made at faculty meetings are made by the Office of the Provost and Academic Affairs, including Deans, Associate Deans, and Chairs.

#### Departmental Faculty Meetings

Deans/Chairs hold departmental meetings during each term on an as needed basis. Adjunct faculty may be invited to these meetings.

#### Adjunct Faculty Meetings

Adjunct faculty members are required to attend a meeting each semester conducted by the Provost and Chief Academic Officer.

**Interpretation:** Deans and Chairs

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
June 2009	Adjunct Faculty	New section added
January 31, 2019	Entire Policy	Updated to align with current best standards

CLASSROOM BEHAVIOR POLICY	
Effective Date	Fall 2008
Date of Last Update	January 31, 2019

## POLICY AD-FA-21

### PURPOSE

The purpose of this policy is to establish the guidelines for behavior in the classroom.

### POLICY

At AUD, academic standards are taken seriously. Students who exhibit inappropriate behavior in the classroom encroach on the rights of other students to seek a quality education. Faculty members who fail to guide students to exhibit appropriate behavior and do not maintain high academic standards in the classroom are neglectful in carrying out their duties and responsibilities. At all times, instructors should promote and maintain a quality learning environment for AUD students. Suggested classroom management procedures and regulations that instructors should follow for promoting a quality learning environment include:

- No smoking for anyone in the classrooms including, guests, instructors and students;
- Instructors must always come to class prepared and expect the same from students;
- Reinforce the rules set in the syllabus, university policies, procedures and handbooks (including student handbook), or in a handout—for example, *I won't accept late work*;
- Maintain a professional appearance when in the classroom (no jeans, tennis shoes, shorts or revealing clothing);
- Arrive at class on time (*call* if you are going to be late);
- Miss class only when it is unavoidable;
- Treat students with respect — demeaning students, especially in front of others, is thoroughly unacceptable;
- Encourage creativity in generating ideas and encourage class participation
- Encourage students and praise them when appropriate;
- Define ground rules up-front for debates and discussions on controversial subjects, ensuring that cultural sensitivity is maintained;
- Show students that you, and therefore AUD, appreciate them;
- Have fun;
- Maintain control of the class and activities at all time;
- Follow procedures for preempting breaches of academic integrity;
- Keep office or conference doors open when meeting with students individually or privately; and
- Use good judgment when meeting with students on or off campus.

**Interpretation:** Provost and Chief Academic Officer  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019		Updated to align with current practices and include additional categories.



<b>COLLABORATIVE PROJECTS POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 31, 2019

## **POLICY AD-FA-22**

### **PURPOSE**

The purpose of this policy is to establish principles for managing collaborative projects.

### **POLICY**

Instilling team work team work ethics and skills is a key to success in many fields. The most talented students can jeopardize their career progress if they are unable to be team players. Various courses may have this aspect as part of their objectives. Managing team projects and teamwork then becomes a challenge that must be met by the instructor. The following are some guidelines:

#### **Group Projects with Individual Outputs**

This type of group project still generates one result per student. For example, a chemistry instructor may ask students to perform a particular chemistry experiment in groups, while requiring each student to submit his or her own report on their personal observations, analysis, research, references, conclusions, etc. Therefore, this type of group project is treated exactly like any other homework or individual project.

#### **Group Projects with Team Output**

This type of group project will generate one integrated result; e.g., one report per team and will, therefore, allow the group to exercise the true sense of teamwork. The boundaries regarding the work item and the required teamwork must be clearly identified. Instructors must clearly state the nature of the group project based on the following two scenarios:

1. The project will be submitted as an integrated piece of work representing the entire team;
2. Modular tasks are clearly divided among the team members with each student integrating his or her piece with the rest of the team's work upon completion. This integrated project is then submitted to the instructor with clear author delineation.

The following guidelines apply to this type of group project:

- In either scenario (more so in the first), students must understand that plagiarizing any part of their work may jeopardize the grade of every member in the team;
- It is expected that members of a team will be sensitive to any act of cheating and/or plagiarism committed by anyone in their team and will immediately report that to the instructor to categorically avoid being charged with plagiarism;
- Instructors are expected to investigate suspected acts of cheating and/or plagiarism on team projects with a view of determining levels of involvement by each team member. This information can then be used in determining penalties, should guilt be established.

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019	Entire Policy	Updating of terminology and guidelines,

<b>COURSE BUYOUT POLICY</b>	
<b>Effective Date</b>	Fall 2008
<b>Date of Last Update</b>	January 21, 2019

## **POLICY AD-FA-23**

### **PURPOSE**

The purpose of this policy is to establish the guidelines for course buyout for full-time faculty members who have secured externally funded research grants.

### **POLICY**

Full-time faculty who have secured externally-funded research grants may use grant funds for course buyout. An external funding agreement or contract must be signed between AUD and the sponsoring agency. Such agreement or contract must 1) clearly outline the purpose and scope of the research activities; 2) present a time frame for deliverables and execution of contractual obligations; and 3) be consistent with the educational mission of AUD. The agreement or contract must be reviewed by the faculty member's supervisor and approved by the Provost and Chief Academic Officer. The funds must be paid directly by the sponsoring agency to AUD.

### **PROCEDURE**

Faculty who buy out will have the relative weights of their annual evaluation components adjusted, such that the following percentage amount is shifted from "Teaching" to "Research and Professional Development":

- 10% per course for 12-month faculty
- 15% per course for 9-month faculty
- Concurrently, the performance expectation in terms of research and professional productivity of a faculty member buying out will increase proportionately. The research productivity may be reflected in terms of number and quality of papers published, conference attendance, art exhibition, student research sponsorship, and other similar indicators as determined by the faculty member's supervisor.

Approval of course buyout is contingent upon the availability of other qualified faculty members to teach such course(s). Such buyout is limited to 3 courses per academic year for faculty on a 12-month contract, and 2 courses per academic year for faculty on a 9-month contract.

The buyout amount for each course is equivalent to a one-month salary for faculty on a 12-month contract, and 1¼-month salary for faculty on a 9-month contract.

**Interpretation:** Academic Deans and Chairs  
**Ownership:** Provost and Chief Academic Officer  
**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 21, 2019	Entire Policy	Updated to provide greater clarity

<b>SUPPORT FOR FACULTY RESEARCH, SCHOLARLY AND CREATIVE ACTIVITIES</b>	
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**POLICY AD-FA-24**

<b>Effective Date</b>	Spring 2009
<b>Date of Last Update</b>	January 31, 2019

## **PURPOSE**

The purpose of this policy is to provide the guidelines for the support of faculty involved in research, scholarly, and creative activities.

## **POLICY**

Research, scholarly and creative activities constitute one of the three components of faculty performance (besides teaching and service to the university and the community), and are evaluated once a year through the Annual Performance Evaluation instrument which all full-time faculty members are required to submit every fall for the preceding academic year.

Full-time faculty members are expected to undertake their duties and responsibilities in each of these three areas in a balanced way, and to recognize that the focus of AUD's mission on teaching does not preclude engagement in the two other areas of activity.

## **PROCEDURE**

University support to full-time faculty members engaged in research, scholarly and creative activities is provided both through funding and through release time. Other support mechanisms also exist university-wide or at the academic unit level; specifically:

- A *Course Buyout Policy* is in effect, under which full-time faculty members who have secured externally-funded research grants may use grant funds to reduce their teaching load through course buyouts.
- Full-time faculty members who teach three graduate level courses are given a teaching load reduction of one 3-credit undergraduate course.
- A Faculty-Student Mentorship (FSM) Grant is also available to full-time faculty members in the SBA. The purpose of the FSM Grant is "to promote innovative mentoring activities between full-time faculty members and graduate and undergraduate students. This might consist of collaborative research efforts, as well as other activities aimed at enhancing the learning outcomes of students." (Quote from internal SBA document titled "Faculty-Student Mentorship Grant.")

Additionally, a university-wide Faculty Teaching Offset (FTO) is available. Under the FTO, the university will approve a 3-credit course load reduction per semester or summer term (i.e., down from four courses to three courses in any given semester and down from two courses to one course in the summer, for faculty members who have opted to teach one summer term).

The FTO is available to faculty members who have well-developed research/scholarly/creative activity plans. Faculty members must submit their plans to their academic unit head not later than the fourth week of the semester preceding the semester or term during which they intend to start working on their plan. A special application form for this purpose is available from the Office of the Provost and Chief Academic Officer. Approval by the academic unit head will be granted upon evaluation of each plan against specific criteria that are set in the academic unit. Final approval will be granted by the Provost and Chief Academic Officer, whose Office administers the FTO program university-wide.

The following criteria will be applied in all academic units and will receive the highest weight in evaluating and ranking submitted FTO proposals. These are:

1. Expected contribution of the research/scholarly/creative activity to the teaching and learning experience: Preference will be given to activities that can be categorized under the “scholarship of pedagogy,” and that can be used to enrich students’ learning experience in the discipline.
2. Expected contribution of the research/scholarly/creative activity to applications and professional practice in the discipline: Projects in this category will also be given preference.
3. Research projects that will result in a peer reviewed publication (preferably a high impact peer reviewed journal, a book with a respected publisher, or peer reviewed conference proceedings, etc.) or creative work, policy brief, invention/development that is of an innovative or high impact nature (as defined by conventions within the particular field)
4. Work that will be undertaken to organize a peer reviewed workshop or conference at AUD that involves international scholars/ universities, industry and/or government entities

Faculty members who are granted course load reductions under the FTO program will be required to submit periodic progress reports to their academic unit head and, at the end of the period during which the course load reductions were granted, to submit evidence of the “final product” of their activity, e.g., papers published or accepted for publication in refereed journals, papers presented or accepted for presentation at refereed conferences and/or publication in refereed conference proceedings, works exhibited or accepted at recognized exhibitions, and so on.

Human Resources will act as the central depository for all completed works under the FTO program. A hard copy and a soft copy of the “final product” generated under all FTO grants must be submitted to HR (with soft copies to the IE Office, the Office of the Provost and Chief Academic Officer, and to the Chair and the Dean of the school) for inclusion in the faculty member’s file. The school assistant will input the data into a research management system (e.g., SEDONA). HR, in collaboration with the Library, will compile and regularly update a list of all works completed under the FTO program each semester or term. This list will be published on the AUD website and will contain links to the completed works. The Library will make copies available to other academic institutions, private and public sector organizations, and other interested parties in the community at large.

An approved FTO cannot be postponed for any reason without the approval of the Provost and Chief Academic Officer.

Should a faculty member who was granted a FTO resign while the FTO is in effect, the course load reduction will be reversed and the faculty member will make up for that reduction either by teaching an additional course before leaving AUD's employment or through an adjustment (to be determined by Human Resources) to his/her salary or accrued end-of-service payable to the faculty member.

### **Research Incentive Grant**

The AUD Research Incentive Grant is awarded on a competitive basis to full-time faculty to support research that is required for publishing a peer reviewed paper or completing an ongoing project that will result in a peer reviewed deliverable (i.e. journal article, book, book chapter, exhibit, etc.). Depending on available funds and the quality of applications submitted, one or several faculty members in a given year could be awarded a grant. Application materials are due the beginning of the third week in February. The University Research, Scholarly and Creative Work Committee will review all applications and make a recommendation to the Provost by the beginning of the first week of March. Awards will be announced by the end of the first week of March.

#### **Limitations of the Grant:**

- The maximum amount that can be awarded to an individual faculty member is AED 10,000. However, this amount is not guaranteed and depends on the merit of the application and available funding.
- The grant cannot be applied towards conference related expenses
- Airfare related expenses to the faculty's home country will not be covered
- All airfare quotations must be obtained from the AUD Human Resources office
- The grant cannot be used for publication related expenses
- The grant does not cover buy out from teaching
- Research must be carried out during non-teaching periods in cases involving international travel
- The deliverable emanating from the research must be completed and submitted for publication/ exhibit/ review within one academic year after the research is carried out.
- Faculty with an FTO or external grant are not eligible to receive an incentive grant in the same academic year

**Application Materials:**

- Application letter
  - Scope of research
  - Timetable/ schedule of research to be carried out
  - Deliverable(s)
  - Identify institutional and/or scholarly collaborations relevant to proposed research (include letters of support where applicable)
  - Contribution to teaching and learning and/or research field
  - Contribution to AUD
- Itemized budget in dirhams
- Evidence of all quotations/ costs
- ORCID ID
- Other supporting evidence

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 31, 2019		Total policy review



<b>COURSE BUYOUT POLICY</b>	
<b>Effective Date</b>	Fall 2010
<b>Date of Last Update</b>	February 10, 2019

## **POLICY AD-FA-25**

### **PURPOSE**

AUD recognizes that its graduate-level growth strategy calls for formal criteria to be established university-wide for determining faculty members' eligibility to teach graduate courses and to recognize this eligibility by creating a "Graduate Faculty" designation for those faculty members who satisfy the eligibility criteria.

### **POLICY**

Only faculty members who have Graduate Faculty Status (GFS) are eligible to teach graduate-level courses and supervise master's theses.

Having GFS does not mean that the faculty member will only teach graduate-level courses or that he or she will necessarily teach at least one graduate-level course each and every academic term. Faculty members who have GFS usually will also be assigned undergraduate courses besides graduate courses, to bring their total teaching load to the number of courses specified in their contracts. It is possible as well that the entire teaching load of a faculty member who has GFS will in some academic terms consist entirely of undergraduate courses.

#### **Workload:**

Full-time faculty with GFS teaching only in graduate programs: nine credit hours (excluding thesis supervision)

Full-time faculty with GFS teaching in both graduate and undergraduate programs: For every nine credit hours taught at the graduate level in a given academic year (excluding thesis supervision), a teaching load reduction of three credit hours at the undergraduate level will be granted.

Full-time faculty with GFS supervising graduate theses: For every three graduate theses supervised, the faculty member will be granted a teaching load reduction of three credit hours, once final grades are submitted.

Further details on Faculty Teaching Loads are found in the Personnel Policies and Procedures Manual available for consulting in the academic unit head's office or in the dedicated folder on the internal AUD network.

## PROCEDURE

- Faculty members must be nominated for GFS by their academic unit head.
- Nominations are made to the Provost and Chief Academic Officer and must be supported by evidence that the nominated faculty member satisfies the criteria listed below.
- Criteria: The faculty member
  - a) holds an earned PhD or equivalent doctoral degree in the teaching discipline or in a cognate discipline;
  - b) has proven teaching expertise in the discipline or (in the case of a newly appointed faculty member who recently completed the PhD) is recommended by the academic unit head on the basis of his or her teaching potential and currency in the discipline;
  - c) is active and productive in research and other scholarly or creative endeavors and is able to provide evidence of such actual or (in the case of a faculty member who recently completed the PhD) potential productivity.
- If approved, GFS will be confirmed in writing by the Provost and Chief Academic Officer.

**Interpretation:** Provost and Chief Academic Officer

**Ownership:** Provost and Chief Academic Officer

**Publication:** Faculty Handbook

SUMMARY OF CHANGES		
Date	Section	Change
January 15, 2019	Entire Policy	Updated to bring greater clarity and alignment to current best practices.