



AU Policies and Procedures

Supplementary Booklet



Academic Year
2026/2027

Table of Content

Contents

AU CCTV Viewing Policy	3
AU H&S Awareness, Orientation and Toolbox Talk Procedure	5
AU H&S Inspection Procedure	8
AU Security Incident Procedure	11
AU H&S Incident and Hazard Reporting Procedure.....	13
AU Grievance Policy	15
AU Grievance Procedure	17
Grievance Flowchart	18
AU Accepting Donations and/ or Sponsorship Policy and Procedure	20
AU Research Grant and Incentives Policy	23

AU CCTV Viewing Policy

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	The scope of this document is applicable to the University's use and access of CCTV across the campus and buildings. This document should be read in conjunction with the AU CCTV Viewing Procedure.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. CCTV: Closed Circuit Television.		
POLICY PROVISIONS			

1.1 Guiding Principles:

- 1.1.1** The University has installed Closed-Circuit Television (CCTV) to:
- Protect individuals, property and buildings;
 - Monitor public areas;
 - Monitor suspicious behaviors; and
 - Assist in the investigation/reviews of disciplinary and/or criminal activity.
- 1.1.2** Video monitoring for security purposes will be conducted in a professional, ethical, and legal manner.
- 1.1.3** Monitoring individuals based on their race, gender, ethnicity, disability, or other classifications is prohibited.
- 1.1.4** CCTV monitoring is done in public areas that are in plain views of others. It will not view private rooms or areas through windows. CCTV monitoring will only be limited to locations that do not violate personal privacy.
- 1.1.5** The authority of operating CCTV is under the Senior Manager- Health, Safety, & Security.
- 1.1.6** The monitoring and operating of CCTV shall be undertaken only by individuals authorized by the Assistant to the President for Support Services and he shall be responsible for ensuring such individuals are competent, that their monitoring and operating of CCTV is at all times compliant with the provisions of this policy and that such individuals observe appropriate confidentiality obligations. There shall be a secure central control room whereby the monitoring of footage captured by the CCTV is undertaken.

- 1.1.7** The Senior Manager- Health, Safety, & Security will coordinate and oversee periodic maintenance and necessary updates to CCTV equipment to ensure their proper performance for their intended use and conformity with applicable technical specifications.
- 1.1.8** Any staff involved in the operation or monitoring of CCTV system is required to exercise care and prevent improper disclosure of the recorded material.
- 1.1.9** Any breaches or misuse of CCTV cameras must be reported to Senior Manager-Health, Safety, & Security and will be treated in accordance with the principles stipulated in the AU Staff Code of Conduct Policy.
- 1.1.10** IT will conduct periodic unscheduled reviews of the network digital recorder and perform monthly checks in random locations. Reports are to be submitted to the Senior Manager-Health, Safety, and Security on a monthly basis.
- 1.1.11** A register of all cameras on all AU facilities will be maintained by the IT.
- 1.1.12** At least one sign shall be placed in each AU facility where a CCTV is installed indicating to the public that such area is equipped with cameras and security monitoring devices. Such signage shall be made in both English and Arabic languages.
- 1.1.13** CCTV View Request is limited to the Assistants to the President, Deans of Colleges, Heads of Departments and Head of English Language Program, following the approval of the Senior Manager-Health, Safety, & Security or the Assistant to the President for Support Services (in the absence of the Senior Manager-Health, Safety, & Security).

1.2 Installing new CCTV cameras or relocating existing ones

- 1.2.1** No CCTV Camera may be installed or relocated without the approval of the Senior Manager- Health, Safety & Security, and/or Assistant to the President for Support Services.

AU H&S Awareness, Orientation and Toolbox Talk Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	This procedure applies to AU staff, students and contractors while being at AU premises.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Contractors: A person or firm that undertakes a contract to provide materials or labour to perform a service or do a job. H&S Orientation: Orientating AU's community with significant H&S precautions, policies and procedures. H&S Awareness: Increasing the knowledge levels of H&S topics. Orientation: provide new employees the basic knowledge required to perform their job Safety Culture: Is the attitude, beliefs, perceptions and values that employees share regarding to safety in the workplace. Toolbox Talks: A toolbox talk covers special topics on safety aspects related to the specific job.		
POLICY PROVISIONS			

- H&S delivers necessary safety precautions to AU's community through four different channels:
 - Orientations
 - Toolbox talks
 - Awareness sessions
 - AU culture building programs

2. Orientations:

There are three orientations that H&S participates in: HR orientation program for new staff, Student Affairs orientation program for new students and organized orientations for contractors.

1.2.1 Staff and Student Orientations:

1.2.1.1 HR coordinates an orientation program for new AU staff while Student Affairs coordinates an orientation program for new AU students. Details of the orientation programs are coordinated by both departments.

1.2.1.2 Both departments either invite H&S to represent an orientation session in the orientation program or ask H&S to submit orientation material for a representative from the departments to deliver to the audience. Regardless either

setting, H&S staff attend the orientation programs to ensure the delivered materials are sufficient.

1.2.1.3 list of attendees should be obtained from Human Resources and Student Affairs.

1.2.1.4 Effectiveness of orientation delivered is measured through safety inspection findings which shall reveal adherence level of AU staff and students to H&S policies and procedures.

1.2.2 Contractor Orientations:

1.2.2.1 In the case of contractor orientation, H&S will contact Department Heads/ Helpdesks with contractors to organize an orientation for them at the commencement of each semester.

1.2.2.2 Contractors subject to undergo H&S orientation are contractors that are on campus for a period of a week or more (e.g. security guards, housekeeping cleaners, facilities technicians, etc.).

1.2.2.3 Department Heads who deals with contractors will coordinate with H&S and ensure their contractors undergo H&S orientation each semester.

1.2.2.4 Orientation records should include:

- i. Orientation title and date
- ii. A list of the participants & percentage of staff attended.
- iii. Objectives and content
- iv. Name of presenter
- v. Records for attendance using Attendance Form

1.2.2.5 If participants on the list did not attend, Remarks' column on the Attendance Form should entail when the absent participants will attend the orientation.

3. Toolbox Talks:

1.3.1 Toolbox talks are done for AU staff, students and contractors as necessary by Health & Safety staff.

1.3.2 Occasions when toolbox talks may be required are:

- Due to inspection findings.
- Incident root-cause analysis results.

1.3.3 Following inspection and incident findings, a Toolbox Talk Request Form is filled when a toolbox talk is needed as a corrective action.

1.3.4 This form is forwarded to Department Head to coordinate with H&S a toolbox talk for his/her staff or contractors according to time appropriateness. In case of student, the form is forwarded directly to him/her for coordination.

1.3.5 Material for toolbox talks is prepared by the H&S staff and reviewed by Manager - H&S.

1.3.6 Upon review of the material, H&S staff shall deliver the toolbox talk according to coordination agreement with the Department Head/ student.

1.3.7 **Toolbox talks records should include:**

- Toolbox talk title and date.
- A list of the participants and percentage of attendance.
- Objectives and content.
- Name of presenter.
- Records for attendance using Attendance Form.
- If participants on the list did not attend, Remarks' section on the Attendance Form should entail when the absent participants will undergo the Toolbox talk.

1.3.8 Effectiveness of session delivered shall be measured by the follow-up safety inspection visits and monthly statistical rates.

4. Awareness Sessions:

- 1.4.1** Students might experience medical emergency situations because of injuries, complications of chronic health conditions, or unexpected major illnesses during class. Such incidents might include but not limited to: asthma attacks, bleeding, choking, diabetic shocks, fainting, heart attack, seizures and strokes.
- 1.4.2** What is done by the student's lecturer and his/her colleagues as soon as the emergency occurs is crucially important and might save person's life. Oppositely, on the other hand if mishandled, it could endanger and jeopardize the student's medical condition.
- 1.4.3** Once annually, H&S will send an email to Dean of College of Engineering, Dean of College of Business and Director of School of Aviation to request for an awareness session to all faculty and lecturers on how to deal with a medical emergency that takes place in classrooms.

5. Culture Building Programs:

- 1.5.1** H&S attempts to enhance the safety culture at AU using different culture building programs.
- 1.5.2** These programs include broadcast emails with a variety of safety topics, H&S magazines and H&S events.

- 6.** All of the records of orientations, awareness sessions and toolbox talks will be available on the H&S Awareness, Orientation and Toolbox talk Log.

ATTACHMENTS	- Toolbox Talk Request Form. - Attendance Form. - H&S Awareness, Orientation and Toolbox Log.
--------------------	---

AU H&S Inspection Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	This procedure applies to campus premises, buildings, food outlets, vending machines, and the processes administered by the relevant staff.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Safety Inspections: methods of investigating the health and safety performance of an organization.		
POLICY PROVISIONS			

PROCEDURAL CLAUSES

1.1. The Health and Safety Department (H&S) conducts daily documented safety inspections using the Inspection Checklist Form for the purpose of identifying and correcting unsafe conditions and behaviour.

1.2. In order to achieve an efficient safety inspection, the H&S Department follows the below steps:

- 1.2.1. Identifies point of contact from key departments;
- 1.2.2. Identify areas to be inspected;
- 1.2.3. Conduct safety inspections;
- 1.2.4. Communicates the outcome of safety inspections; and
- 1.2.5. Follows-up on corrective actions.

1.3. Point of Contact from Key Departments

At the beginning of each academic year, the H&S Department sends an email to the following delegates to assign a point of contact for inspection findings outcome communication:

- Senior Manager – Administrative Affairs
- Senior Manager– Facilities
- Manager- Security
- Dean - College of Engineering
- Dean - College of Business
- Head of English Language Program
- Director - Aviation

- 1.3.1.** In the case of the Dean of College of Engineering absence, several points of contacts could be assigned; one representative to receive findings concerning engineering offices, and other representatives to receive safety findings for each engineering workshop and lab.

1.4. Areas for Inspection:

- 1.4.1.** At the beginning of each academic year, the H&S - Officer prepares a Safety Inspection Plan to identify areas for inspection each day and submits it to the

Senior Manager - H&S and Manager - H&S Business Development for review and approval.

1.5. Safety Inspections:

- 1.5.1.** Following the approval of the plan, the H&S Officer conduct daily safety inspection tours around the campus and record the results in the Safety Inspection Checklist. In case the H&S – Officer is on leave, any H&S Department staff can conduct the safety inspections.
- 1.5.2.** The H&S Department allocates a budget to randomly check the items sold inside vending machines.
- 1.5.3.** If a hazard is identified whilst conducting an inspection, it is documented in the Safety Observation Report and highlighted in the Safety Inspection Checklist for easy tracking when referring to both documents.
- 1.5.4.** In certain cases, an inspection is performed based on a request from a department or if many incidents are identified in a specific area.

1.6. Outcome of Workplace Inspections:

- 1.6.1.** When a hazard is identified during an inspection, the H&S Officer must verbally discuss the hazard with the assigned point of contact. Inspection outcomes of food outlets are reported to the outlet supervisor, as for vending machines, inspection outcomes are reported to the Facilities Department.
- 1.6.2.** The discussion along with the agreed tentative date and mitigation measures are recorded on the Safety Observation Report.
- 1.6.3.** A copy of the Safety Observation Report is sent to the point of contact and H&S Senior Manager and Manger.

1.7. Corrective Actions:

- 1.7.1.** As per agreed mitigation measures and tentative date, the H&S Officer conducts a follow-up visit to track closure of the corrective action.
- 1.7.2.** If the hazard is addressed within the agreed timeframe, the finding will be closed and documented on the Inspection Log Sheet.
- 1.7.3.** If the hazard is not addressed within the agreed timeframe, a reminder email will be sent to the point of contact.
- 1.7.4.** If the point of contact does not reply to the email with justification within 2 (two) working days, the hazard finding will be escalated to his/her line manager.
- 1.7.5.** If the responsible Manager does not reply to the incident report communicated by Health and Safety via AU communication channels i.e. e-mail or internal memorandum with the required justifications and follow up actions within five

(5) working days, the matter will be referred to Human Resources and is handled as per the terms of the Disciplinary Policy and Procedure.

ATTACHMENTS	
	- Safety Inspection Plan - Safety Inspection Checklist - Safety Observation Report - Inspection Log Sheet

AU Security Incident Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	February 2022	Fall 2022/2023
SCOPE	This procedure applies to all persons on campus involved with any security related incident and staff assigned to administer the process.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Incident: an unplanned, or undesired event that may affects campus security. Property Damage: damage or destruction to houses, building, cars, parking lots, etc. Physical Abuse/Violence: any intentional act causing injury or trauma or use physical force or power to another person by way of bodily contact.		
POLICY PROVISIONS			

- 1.1 The Security Department handles the following incidents:
 - Theft;
 - Property Damage;
 - Drug abuse;
 - Physical abuse/Violence;
 - Car accidents/ Traffic incidents or violations.
- 1.2 In case an incident amongst students, faculty/staff or visitors is observed, security staff should adhere to the below principles:
 - Stop the act immediately and cease weapons if applicable.
 - Medical attention will be provided by AU clinic if required.
 - Fill the Security Incident Report and report the matter to the concerned department as per the following guidelines:
- 1.3 If the incident involves a student, he/she will be escorted to Student Affairs staff where the matter will be handled per the terms of the Student Code of Conduct Policy and Procedure. The Senior Manager –Health, Safety & Security must also review, and submit the Security Incident Report to Office of the Assistant to the President for Student Relations where the matter will be handled as per the terms of the Student Code of Conduct Policy and Procedure.
- 1.4 If the incident involves faculty, the Senior Manager-Health, Safety & Security must review and submit the details of the incident using the Security Incident Report to Human Resources where the matter will be handled as per the terms of the Staff Code of Conduct Policy.
- 1.5 If the incident involves visitors/and or contractors, depending on the severity of the situation, security officers should contain the people involved and contact the police, as

deemed necessary. In addition, they must fill the Security Incident Report and submit it to the Senior Manager-Health, Safety & Security who upon review of the case will contact the University's lawyer and then proceed to investigate the matter and present it to the Assistant to the President for Support Services.

- 1.6** The Security Incident Report should be filled and submitted to the Senior Manager-Health, Safety & Security within a maximum of (24) hours following the incident. If the incident took place on a weekend or a public holiday; the security incident report will be submitted on the first working day following the weekend/holiday.
- 1.7** If the incident takes place on a weekend or a public holiday; the Security Incident Report must be submitted on the first working day following the weekend/holiday.
- 1.8 Reporting Security Incidents**
 - 1.8.1** If a staff, faculty or student wants to report an incident, they must contact the Security Helpdesk or use the emergency red phones. The Security staff will then proceed to fill the Security Incident Report and submit it to the Senior Manager-Health, Safety & Security.
 - 1.8.2** Upon receipt of the Security Incident Report, the Senior Manager-Health, Safety & Security will investigate the matter and reach a decision. If deemed necessary, the Senior Manager-Health, Safety & Security might request the involvement of certain departments in the investigation. In case of incident regarding violence, physical abuse or robbery, legal firm /police station could be involved.
 - 1.8.3** Details of the person involved in the Incident, along with the follow-up responsible department and staff member will be recorded on the Follow-up Investigation Report, as per section 1.9 of this document.
 - 1.8.4** Once a decision is reached, it will be communicated by the Senior Manager-Health, Safety & Security to the relevant personnel.
 - 1.8.5** The Officer - Security Administration is required to log all reported incidents in the Security Incident Log.

1.9 Follow-up Investigation Report:

- 1.9.1** Following completion of the Security Incident Report, the person responsible for follow-up investigation is required to fill the Follow-up Investigation Report. Upon completion, the form is then submitted to the Senior Manager-Health, Safety and Security.
- 1.9.2** The timelines for following up on incidents highlighted in the Follow-up Investigation Report are identified in the categories listed below:
 - 1.9.2.1** Theft: 30 Days
 - 1.9.2.2** Property Damage: 1 week
 - 1.9.2.3** Drug Abuse: 2 Days
 - 1.9.2.4** Physical abuse/ Violence: 1 Week
 - 1.9.2.5** Car accidents/Traffic violations: 1 Week.
- 1.9.3** The Officer - Security Administration is required to log the follow-up status and responsible person in the Security Incident Log.

ATTACHMENTS	
	- Security Incident Report. - Security Incident Log. - Security Follow-up Investigation Report.

AU H&S Incident and Hazard Reporting Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	The scope is applicable to all members of the University's community including students, faculty, staff, visitors, and contractors on campus and the processes administered by the relevant staff.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Accident: An undesired event that results in a personal injury or property damage. Hazard: is any source of potential damage, harm or adverse health effects on something or someone under certain conditions at work. Incident: An unplanned, undesired event that adversely affects completion of a task. Near miss: An incident where no property was damaged and no personal injury sustained, but where, given a slight shift in time or position, damage and/or injury easily could have occurred.		
PROCEDURAL CLAUSES			

1.1 Near Miss/Incident/Accident and Hazard Reporting:

Reporting near miss/incident/accident and hazard is a responsibility shared by all members of the University community. To this end, any individual on campus must report a H&S near miss/incident/accident or hazard to the Health and Safety Department (H&S) through one of the following methods:

- Using the online form on the AU H&S portal page;
- Reporting the hazard to the Clinic;
- Sending an e-mail : health&safety@au.edu.kw; or
- Calling H&S Officer at 96960486 or clinic extension number 6666 to report the spotted hazard.

1.2 Medical Injuries Reporting:

To report a medical injury, any member of the University should follow one of the below methods:

- Press 'clinic' button on the emergency red phones around campus;
- Call the Clinic's emergency mobile number: 96600310.
- If the Clinic is closed and there is no after hour medical emergency services, call Kuwait's Emergency Phone Number of Police, Ambulance and Fire Services: 112.

- 1.3** All near misses/incidents/accidents, hazards, and medical accidents/injuries are documented by the H&S Department using the incident reporting form or hazard reporting form (as applicable) prior to the start of the investigation.

Once the investigation is complete, the H&S Department informs the concerned party(s) to rectify the incident through necessary corrective action(s) with set dates. The dates are set in coordination with the concerned party(s). It is the responsibility of the H&S Department to propose corrective actions and ensure they are completed. These proposals are only recommendations; the concerned department may suggest different measures to adopt.

- 1.4** The H&S Departments follows-up on the implementation of the corrective action(s) and maintains updated log sheets.
- 1.5** Once implementation of the corrective action(s) is finalized, a comprehensive report is sent to the concerned party(s) along with an email.
- 1.6** Departments bear the responsibility of the incidents and hazards that are not reported, addressed and corrected within the required timeframes and without proper justifications to the H&S Department.

ATTACHMENTS	- Incident Reporting Form - Incident Investigation Form - Incident Log - Hazard Reporting Form - Hazard Log
--------------------	---

AU Grievance Policy

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	The Grievance Policy applies to all full-time AU employees and processes administered by relevant staff.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Grievance: A written complaint filed by an employee against another employee or his/her manager alleging violation of university policy.		
1. POLICY PROVISIONS			

1. The objective of the Grievance Policy is to achieve a resolution in the context of the following principles:

- 1.1.1** With an emphasis on an informal means of resolution in the first instance, any employee who believes he/she has received unfair treatment is encouraged to approach the relevant manager.
- 1.1.2** Only when informed discussion has been exhausted should a formal grievance be raised as per the grievance procedure. There is a stayed approach described in the grievance procedure.
- 1.1.3** Resolution of the grievance shall be as close as possible to the source, unless it is serious, unlawful or not practical.
- 1.1.4** It is expected that all parties involved will approach proceedings with a desire to resolve the grievance cooperatively and in good faith.
- 1.1.5** Individuals shall not victimise or harass other parties involved in the matter.
- 1.1.6** Confidentiality shall be strictly observed by all participants and at all stages of the grievance procedure.
- 1.1.7** Complainants and respondents will be informed of the outcomes.

2. AU recognises that all those who work at the University have the legal right to:

- 1.2.1** Raise any concern or complaint related to unfair treatment, discrimination, harassment, and other such issues.
- 1.2.2** Have their concern, problem, complaint, or grievance dealt with confidentially, fairly, and effectively.

3. Grievance Investigators

- 1.3.1** Inform all parties of the procedures being followed and provide them with copies of relevant policies and guidelines.

1.3.2 Informing the respondent of any allegations made against them and allowing them time for a response.

1.3.3 Providing the respondent with the opportunity to state their case, providing an explanation or putting forward a defence

1.3.4 Conducting a factual investigation of the allegation, interviewing all parties and considering all relevant information and

1.3.5 Acting fairly, impartially and without bias by considering all relevant information and any mitigating factors.

4. Grievance Handling

1.4.1 Informal Resolution: Grievances should be handled informally wherever possible.

5. Keeping Records

1.5.1 Records and documents created in the course of investigating the grievance should be stored.

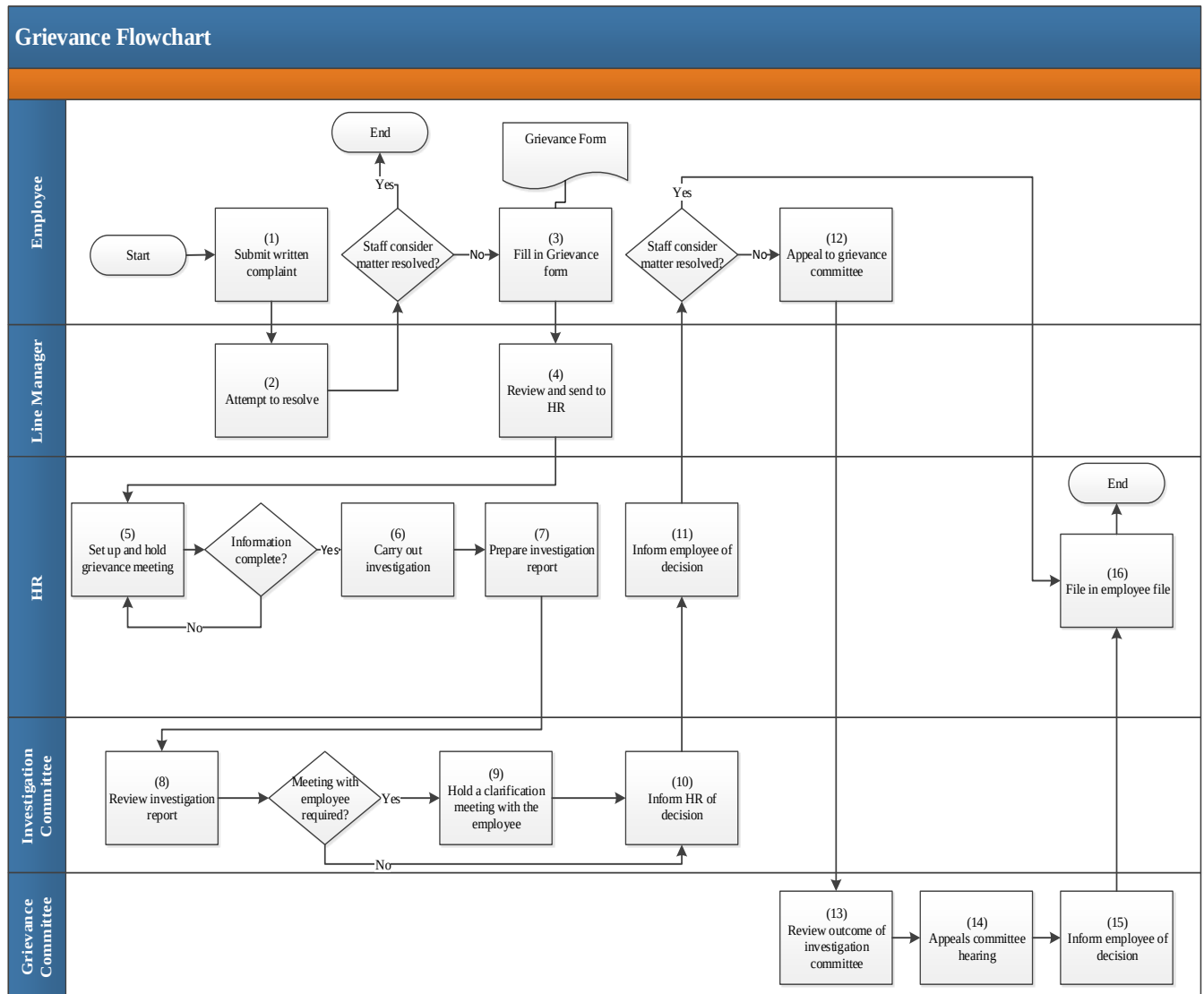
AU Grievance Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	March 2022	Fall 2022/2023
SCOPE	The Grievance Procedure applies to all full-time AU employees and processes administered by relevant staff.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Grievance: A written complaint filed by an employee against another employee or his/her manager alleging violation of university policy.		
1. PROCEDURAL CLAUSES			

1.1 Please refer to AU Grievance Flowchart

ATTACHMENTS	- Employee Grievance Form - Grievance Flowchart
--------------------	--

Grievance Flowchart



Employee Grievance Form

(to be completed by the Employee)

To: Human Resources Department

From:

Employee No.:	
Employee Name:	
Position:	
Department:	
Date:	

If this grievance is about your immediate supervisor, you should discuss the grievance informally with the next line manager. Before presenting a formal grievance either your line manager or your next level manager should endorse this form.

1. I understand that, prior to filing a formal grievance; I must attempt to resolve the matter informally with my immediate supervisor.

Staff Member:

☐ I did attempt to resolve this matter informally on _____
with _____

Signature: _____ Date: _____

Manager:

☐ I confirm I have discussed this issue and relevant notes are attached.

Signature: _____ Date: _____

2. I intend to file a formal grievance based on the following:
 - a. Action being raised:

b. Effective date of adverse action: _____

c. Employment date: _____

d. Relief I seek: _____

Employee Signature: _____

Date: _____

AU Accepting Donations and/ or Sponsorship Policy and Procedure

Version No.	Approved By	Approval Date	Effective Date
1.0	President & BOT	June 2022	Fall 2022/2023
SCOPE	Donations and/ or sponsorships received from interested parties for students' sports activities, students' projects, social welfare, etc.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University. Donation: To present as a gift to a fund or cause. Sponsorship: One that finances a project, event, or organization directed by another person or group External Party: Private Entities that are meant to design Non Public organizations.		
1. POLICY PROVISIONS			

1.1 Any interested external party who wishes to financially donate or sponsor any of the activities of the Australian University of Kuwait and may donate any of the following categories:

- A) Students' sports activities
- B) Student Activities / events
- C) Students' projects
- D) Sustainable development, environmental, and socially responsible initiatives
- E) Internship training
- F) Student fees
- G) Other

1.2 The University will not accept gifts that:

- A) Compromise its status as an independent institution
- B) Do not help fulfill the University's strategic aims
- C) Suppress or falsify academic research
- D) Limit freedom of inquiry
- E) Conflict with the University's sustainability and environmental commitments, including gifts that could contribute to significant environmental harm or undermine the University's sustainability objectives.
- F) Expose the University to undue adverse publicity or reputational risk
- G) Require unacceptable expenditure of additional University resources
- H) Create conflicts of interest which are not fully transparent and managed appropriately
- I) Potentially harm its relationships with other donors or stakeholders or inhibit unreasonably, the University's ability to seek support from other donors
- J) Undermine the University's vision and values
- K) Cost the University more than the benefit it derives from it"

The University seeks to ensure that its acceptance and management of gifts are in compliance with external regulations”

1.3 It is the University’s policy not to accept donations likely to be illegally or immorally obtained or to risk adversely affecting its reputation or compromising its academic integrity. This can encompass, but is not limited to, refusing to accept a donation where:

- A) It results from illegal or immoral activities;
- B) The activities of the donor are contrary to the objectives and values of the institution;
- C) The gift represents a significant reputational or future financial risk to the institution;
- D) The offer is dependent upon the satisfaction of conditions by the institution which are contrary to the institution’s values and objectives, or unreasonable in relation to the nature of the donation;
- E) Where conditions tie the donation to a specific activity and the activity itself is not within the objectives or intended strategy of the institution.

The University will carry out due diligence on the nature of proposed donations and their sources of funding. It must make reasonable efforts to satisfy any questions raised before gifts are accepted.

2. PROCEDURAL CLAUSES

- 2.1** Interested party should express their interest to donate or sponsor, in writing by an email or correspondence.
- 2.2** Relevant receiving department should fill the Donations/ sponsorship application Form.
- 2.3** The completed application will be authorized and signed by the applicant and relevant receiving department.
- 2.4** The application will be submitted for the President for approval.
- 2.5** The Finance Department shall receive the donations as per the accepting donations flowchart.
- 2.6** For the sponsorship, relevant department will coordinate with Contracts Administration Unit for necessary contract to be reviewed and signed by AU authorized signatory and the external party.
- 2.7** Signed contract will be copied to relevant department and finance for necessary receipt of sponsorship funds and activities.
- 2.8** The sponsor can get the below benefits only depends on the sponsorship amount:

Sponsoring Amount	500 KD and above	1,000 KD and above	2,500 KD and above
E-mail shot to AU staff / students	X	X	X
Social media post	X	X	X
Printing logo on events' collaterals (if applicable)		X	X
1 week free booth			X

ATTACHMENTS	
	- Accepting Donations Application Form. - Accepting Donations Flowchart.

AU Research Grant and Incentives Policy

Version No.	Approved By	Approval Date	Effective Date
2.0	President & BOT	April 2025	Spring 2024/2025
SCOPE	The policy is applicable to all research undertaken by full-time faculty employed at AU.		
TERMS, DEFINITIONS AND ABBREVIATIONS	AU: Australian University or the University.		
	AU-CQU Joint Research Council: The council that is accountable for ensuring that all research undertaken jointly by AU and Central Queensland University (CQU) faculty is undertaken in a manner that is consistent with the relevant policy and procedure documentation.		
	AU Research Council: The council that is accountable for ensuring that all research undertaken by AU faculty is undertaken in a manner that is consistent with the relevant policy and procedure documentation.		
	Co-Investigator: refers to the faculty assisting the Principal Investigator in the research project.		
	Direct Costs refers to costs which are directly incurred in undertaking the Research project such as the costs of consumables including equipment, chemicals, project-specific licenses or subscriptions.		
	External Grants: Refers to Research Grants provided by third party organizations external to AU.		
	Funding Agency: Any organization external to AU which provides funding to AU faculty to undertake research.		
	Indirect Costs refers to the infrastructure and overheads incurred by the University in supporting research, but cannot be attributed directly to an individual research project, such as provision of research administration, the use of library facilities, legal support, insurance, computing services, buildings, cleaning and maintenance of buildings in which the research is conducted and provision of utilities.		
	Internal Grant: Refers to AU Research Fund administered through AU Research Council or AU-CQU Joint Research Council to support academic research at AU.		
	Principal Investigator (PI): Refers to the main faculty responsible for the project and the recipient of an internal or external research grant.		
Research Grants: Refers to the funds provided to undertake Research.			
Research Grant Agreements: Refer to agreements between AU and its faculty or AU and one or more Funding Agencies to undertake a research project. Research Grant Agreements can be in the form of deeds, contracts, service agreements or memorandums of understanding, etc. setting specific requirements for activities and deliverables.			

General Principles

1.1 AU has affirmed the following principles concerning academic research undertaken in the University:

- AU recognizes that quality research is rooted within the abilities of individual researchers to contribute to their intellectual disciplines at the highest level and accordingly makes best endeavours to foster an environment conducive to research.
- AU sets high academic standards for research. Investment in support of research activities are necessarily selective to ensure that resources are used effectively and efficiently.
- AU ensures that the decision making processes for the allocation of resources are transparent and meet the highest standards of research quality and integrity.
- Individual faculty is free to select the subject matter of their research, to seek support from funding agencies in Kuwait (e.g. KFAS and KISR) for their work, and to form their own findings and conclusions. These findings and conclusions are available for scrutiny and comment by the University. All Intellectual Property created as a result is subject to the terms of AU's Intellectual Property Policy.
- Research can be undertaken by University faculty working individually, in teams with their peers or in partnership with other institutions with similar ethos to AU.

1.2 AU Research Strategy Plan

Research priorities in AU are determined by the AU Research Strategy Plan. Guiding principles of research according to this plan (in no particular order) are:

- Research that supports achievement of University's strategic goals as documented in the AU Strategic Plan;
- Research that supports opportunities to serve the requirements of the Kuwait National Development Plan;
- Research that supports mutual interest areas between AU and other institutions Research that bears strong correlation to AU's applied teaching model;
- Research that addresses the practical problems faced by local industries;

- Research that can be supported by the resources available to the University and can in turn support the use of practical learning courses and methodologies;

The University acknowledges that faculty may pursue research in the areas of their own individual interests; however, support, funds and resources will be targeted at efforts that are aligned with AU's Research Strategy Plan.

1.3 Faculty Research Expectations

Engaging in research is an important part of academic life. All faculty with a PhD are expected to have authored or co-authored at least two referred journal publications listed in AU's chosen research database within the previous five two years' period. It is therefore important for faculty members to set a clear and focused research agenda early on. Ability to publish findings of research in indexed journals will be considered as part of annual performance reviews.

1.4 Grant Opportunities

1.4.1 Internal Grants - AU Research Fund

An AU Research Fund is allocated to support AU faculty undertaking research activity. The fund is administered by the AU Research Council in accordance with the terms of this document. Attendance in conferences, workshops or training courses are not funded through the research fund, but may be applied for through AU's professional development.

1.4.2 External Grants

Faculty is encouraged to seek external funding for conducting research using AU's facilities and resources provided that such arrangements are compatible with AU Research Strategy Plan and the relevant University policies and procedures. Any arrangements for external grants are subject to the approval of AU's Research Council prior to entering into such agreements.

1.4.3 Eligibility to Apply

All members of AU faculty are eligible to apply for funding to support their research. Faculty cannot receive internal and external funding for the same project at the same time.

1.5 GRANT APPLICATIONS PROCESS

AU is committed to support its faculty in their search for research funding while maintaining a fair and efficient process, as well as protecting the University's reputation and interests. Securing a research grant is a competitive process. Below sections set out the guidelines adopted by the University to help improve success rates for faculty applying for research funding.

1.5.1 Faculty applying for internal research grants must submit their application to the AU Research Council¹:

- A detailed Research Proposal
- Project Budget
- Curriculum Vitae (CV)

1.5.2 Faculty applying for external grants must ensure that they abide by all requirements of the funder and provide all necessary documents in accordance with the stipulated format. Applications for external grants, just as the applications for internal grants, should be submitted to the AU Research Council for review and approval.

1.5.3 All submissions to the AU Research Council will be made by the Principal Investigator.

1.6 Research Proposal

While preparing research proposals, faculty must remember that the Research Council cannot include specialists in every field; therefore, it is important that proposals communicate the significance of the work to scholars from other disciplines and provide enough detail to permit an evaluation. The format requirements for proposals provided within this document are written with this need in mind.

All proposals must be written using Arial or Times New Roman, size 12. The portions may be single-spaced. The proposal should contain all components listed below, in the specified order. Submissions cannot exceed five (5) A4 pages.

- **Project Title:** Should be concise, yet descriptive, reflecting the nature and content of the proposed work.
- **Keywords:** Should be a minimum of three key words describing the research.
- **Abstract:** Should be a brief summary of the research (in no more than 500 words) and includes at minimum:
 - the research question,
 - the significance of this research to theory,
 - the methodology and practice,
 - how this research differs from earlier research in the field, and
 - the main anticipated findings.
- **Literature Review:** Should provide background and context for the research problem(s), with focus on the specific research question and hypothesis.
- **Objectives:** Should provide a detailed description of what is to be achieved by the study, its purpose and significance.
- **Significance:** Should clearly state the benefits of conducting the proposed research, including a discussion of how the proposed research will advance scientific discovery and understanding.

¹ If the submission relates to AU-CQU Joint Research Fund, AU Research Council will pass on application to the joint council accordingly.

- **Methodology:** Should explain how the research problems will be tackled, describing in details exactly what Principal Investigator proposes to do, and justifying that the methods chosen are appropriate to the specific objectives. The methodology should explicitly address the different approaches, designs, procedures and methods that will be used to investigate the research problem.
- **List of References:** Should cite all sources included in the research proposal, which may include scientific books, journal, technical reports, thesis, etc. The reference list should be arranged numerically according to the order of appearance within the text of the proposed document. Each reference should contain the author's surname, initials, year of publication, title, journal volume, page numbers etc. as per standard format.
- **Anticipated Productivity:** Should indicate the expected outputs of the research study and its scientific impact in terms of journal publications, conference presentations, patents, etc.
- **Implementation Plan:** Should indicate the timeframe for each broad stage considering literature surveys, data collection, production, modeling, review, analysis, testing and reporting.

Applications for AU Research Fund are made using the AU Research Grant Application Template.

1.7 Project Budget

In preparing a research application the researcher should include a detailed **Project Budget** including:

- A Budget Table
- A Budget Narrative describing in detail each cost.

In all cases, direct and indirect costs need to be calculated in the budget. When the project will be multi-year, separate tables with a single narrative are required.

AU faculty applying for external grants must adhere to the external funder's project budget requirements and specified formatting.

1.8 Curriculum Vitae (CV)

Up-to-date CV(s) of all Principal Investigator(s) and Co-Investigator(s) are required as part of the application. CVs should be brief and not to exceed two pages, including educational qualifications and only publications with relevance to the research project.

AU faculty applying for external grants must adhere to the external funder's requirements in this regard.

1.9 Application Deadlines

Applications for Research Grants will be submitted to the Research Council in accordance with the University's published dates.

Window of submission for AU-CQU Joint Research Grants is determined by AU-CQU Joint Research Council.

1.10 Criteria for Approval of Research Grants

AU Research Council² will use the Research Proposal Evaluation Form to evaluate the feasibility of a project and its merit or relevance to be funded. The decisions of the Council are final.

1.11 Research Grant Agreements

When an offer of Research Grant has been made, whether it is for an internal or external funding, a Research Grant Agreement regulating the conduct of the research needs to be prepared. A research project cannot commence until an agreement has been agreed between parties. Research Agreements between AU and funding entities may not be written in the name of an individual.

For external grants, the Research Council will ensure the agreement:

- Is of overall benefit to the University and it provides resources, equipment, or infrastructure not otherwise available from University funds.
- Protects academic, ethical, and financial interests of all parties.
- Does not affect the normal teaching or other responsibilities of the researcher adversely.
- Clearly communicates ownership of Intellectual Property and allows for negotiation.
- Does not contain restrictions that prohibit or delay the use of research results by the University.
- Does not burden the University's infrastructure or require modifications which have not been budgeted for in the proposal.

1.12 Management of Research Projects

Principle Investigator is the designated Project Manager for a research project. It is responsibility of the Principal Investigator to ensure that all staff associated with the research project are compliant with terms of the Research Grant Agreement.

1.13 No-Cost Extension for Internal Grants

For internal grants, principle investigators requesting additional time for the completion of the original scope of work must submit a formal request in writing to the Research Council. The provision of additional funding cannot be requested.

² Or AU-CQU Joint Research Council as applicable

The following conditions are applicable regarding extensions of internal grants:

- No-Cost Extensions must be submitted three months before the end date of the internal grant.
- Requests submitted after the end date of the internal grant will not be considered.
- The Principle Investigator must provide sufficient evidence and justifications.
- The extension period may be dependent on the length of the original grant and will not be for more than six (6) months.

1.14 Compliance, Monitoring and Review

The Research Grant Agreement will set out any reporting requirements for the Research Projects. Principal Investigator will submit regular progress reports to the Research Council per the terms of this agreement. In case of external funds reporting will be directly to the funding agency with copies provided to the Research Council.

AU reserves the right to suspend or terminate grants if:

- There are adverse circumstances prevent progress on the project,
- The conditions of the research grant, including reporting requirements, are not complied with; or
- Circumstances have changed so that it is no longer possible for the objectives of the project to be realized

1.15. Categories of Publications Eligible for Incentives

1.15.1. AU will continue to recognize and reward publications in reputable, peer-reviewed journals that align with its disciplinary focus areas.

1.15.2. Open access journals will no longer be eligible for incentives. Incentives will be applicable only to open access journals published by highly reputable publishers such as ASME, IEEE, and Elsevier.

1.15.3. Publications with multiple co-authors from different regions will be considered for incentives only if the AU author has a previous collaboration with some of the authors.

1.16. Classifications of Q Journals Incentives

1.16.1. Q1 Journals – Max of 3 Articles/Academic Year

- A \$1500 will be awarded to a single author.
- A \$1000 will be awarded to first author in Multi-Authored Articles
- A \$750 will be awarded to second author in Multi-Authored Articles

1.16.2. Q2 Journals – Max of 2 Articles/Academic Year

- A \$1000 will be awarded to a Single Author
- A \$750 will be awarded to first author in Multi-Authored Articles
- A \$500 will be awarded to second author in Multi-Authored Articles

1.16.3. KFAS Grant

- 7% of the total approved KFAS budget will be awarded to the PI (AU Affiliation only)
- 5% of the total approved KFAS budget will be awarded to all Co-Is (AU Affiliation only)

ATTACHMENTS	▪ Research Grant Application for AU Faculty Members. ▪ Research Proposal Evaluation Form.

