جامعة عجمان
AJMAN UNIVERSITY

POLICIES AND PROCEDURES MANUAL

2019-2020

TABLE OF CONTENTS

A. Mission, Organization and Governance 5

AU Mission, Vision and Values 6
Board of Trustees Policy 9
Standing Committees 19
Policy on Policies 27

B. Quality Assurance 32

Quality Assurance Policy 33
Planning Policy 39
Risk Management Policy 42

C. Educational Programs 55

Curriculum Approval and Revision Policy 56
Undergraduate Admission Policy 62
Graduate Admission Policy 69
Transfer Admission Policy 76
Advance Standing and Prior Learning Assessment and Recognition (PLAR) Policy 81
Internship Policy 84
Undergraduate Completion Policy 89
Graduate Completion Policy 93
Academic Progress Policy 97
Grading and Assessment Policy 107
Independent Study Policy 110
Class-Size Policy 112
Academic Advising Policy 114
Academic Probation Policy 120
Course File Policy 123
Intensive Modes of Course Delivery Policy 125

D. Faculty and Professional Staff 126

Faculty and Professional Staff Role Policy 127
Employment Policy 130
Faculty Development Policy 135
Faculty Performance Evaluation Policy 139
College Deans Performance Policy 169
Faculty Promotion Policy 174
Staff Training and Development Policy 186
Staff Performance Appraisal Policy 196
Staff Promotion Policy 213
Personnel Policy 218
Faculty Workload Policy 219
Professional Requirements for Teaching Policy 222
Compensation Policy 224
Non-Discrimination Policy 227

Conflict of Interest Policy....229
Faculty Disciplinary Policy....231
AU Ethics Policy....236
Faculty Grievance and Appeal Policy....237
Graduate Assistants (GA) Policy....241

E. Students....244

Student Disciplinary Policy....245
Student Academic Integrity Policy....249
Student Grievance and Appeal Policy....259
Student Activity Policy....263
Student Right and Responsibility Policy....268
Student Counseling Policy....270
Student Complaints Policy....274
Student Athlete Class Attendance Policy....276
Student Finance Policy....277
AU Student Records Policy....281
Student Information Release Policy....287
Career and Placement Services Policy....289
Student Career Advancement Program Policy....292

F. Learning Resources....295

Library Policy....296
Information Technology Policy....309

G. Physical Resources....327

Residential Life Policy....328
Health Services Policy....336
Health and Safety Policy....340

H. Fiscal Resources....342

Financial Policy....343
Cash Management Policy....350
Procurement and Inventory Control Policy....353
Auxiliary Enterprise Policy....379
External Audit Policy....386

I. Public Disclosure and Integrity....390

Transparency and Institutional Integrity Policy Statement....391
Intellectual Property Policy....392
Publications Policy....399
AU Fundraising Policy....402

J. Research and Scholarly Activities....417

Research Policy....418
Research Strategy Policy....422

Quality Research Publications Policy....424
Research Conferences Policy....426
Visiting Scholar Policy....431

K. Community Engagement....434

Community Engagement Policy....435

A. Mission, Organization and Governance

جامعة عجمان
AJMAN UNIVERSITY

AU Mission, Vision and Values

Mission Statement

Ajman University (AU) is a multicultural, dual gender, academic institution that offers a broad range of high quality and relevant undergraduate and graduate academic programs. The University strives to fulfil the needs of students, alumni, employers, and society through quality education, scholarship and community engagement. AU develops well-rounded graduates who are professionally competent, socially responsible, innovative and active contributors to sustainable development of the UAE and beyond.

Vision Statement

Ajman University aims to be internationally recognized as one of the leading universities in the Arab world in terms of cutting-edge learning, impactful research and responsible outreach and community engagement.

Core Values

- **Excellence:** All AU activities are conducted with strong emphasis on international quality standards.
- **Integrity:** AU adheres to the principles of honesty, trustworthiness, reliability, transparency and accountability.
- **Inclusiveness:** AU embraces shared governance, inspires tolerance, and promotes diversity.
- **Social Responsibility:** AU promotes community engagement, environmental sustainability and global citizenship. It also promotes awareness of, and support for, the needs and challenges of the local and global communities.
- **Innovation:** AU supports creative activities that approach challenges and issues from multiple perspectives in order to find solutions and advance knowledge.

Institutional Goals

Institutional Goal 1: ***Ensuring Excellence in Teaching and Learning***

Objectives:

1.1 Meet international accreditation and/or quality assurance guidelines for all existing academic programs

1.2 Complete benchmarking of all programs and colleges with two peer and one aspirant institution.

1.3 Establish a Teaching and Learning Center to promote students' learning

1.4 Achieve student-to-faculty ratio of less than 20 at the University level

1.5 Increase first-year retention rate of students by 10% over next three years

1.6 Increase on-time graduation rate by 10% over next three years.

Institutional Goal 2: ***Enhancing the Quality, Relevance, and Impact of Research and Intellectual Contribution***

Objectives:

2.1 Attract high-caliber faculty with very promising research agendas

2.2 Achieve an annual increase of at least 50% in the number of Scopus-indexed publications for the next three years

2.3 Increase the number of citations in Scopus publications by 25% over the next three years

2.4 Provide concrete incentives and opportunities for faculty to conduct high-quality research

2.5 Establish at least two Research Groups in each College and support them with full-time Research Assistants

2.6 Increase the number of impactful publications in collaboration with international faculty from other countries.

Institutional Goal 3: ***Recruiting, Supporting and Fostering the Development of a Bright and Diverse Student Body***

Objectives:

3.1 Set up a professional marketing team for developing and implementing a focused, targeted recruitment plan to increase the intake and diversity of students

3.2 Increase the number of non-Arab students by 10% in three years

3.3 Increase the diversity of co- curricular activities and the participation of students in a full and rich student life program

3.4 Achieve at least 75% students' satisfaction rate with AU events and activities

3.5 Establish a Student Success Center for developing well-rounded students

3.6 Increase the employability rate of AU graduates by 5% in three years.

Institutional Goal 4: ***Enhancing the Visibility and the Positioning of the University***

Objectives:

4.1 Achieve at least 10% improvement in QS Ranking in the Arab region

4.2 Maintain AU's global ranking to be among the top 1000 institutions in QS World Rankings

4.2 Achieve four and five star ratings in various QS Stars categories

4.3 Increase engagement of AU alumni in University activities

4.4 Increase by 10% the number of geographically diverse strategic partnerships with prominent universities.

Institutional Goal 5: ***Building Impactful and Long-Lasting Ties with the External Communities***

Objectives:

5.1 Increase the number of AU's corporate ties with external community by at least 25%

5.2 Increase the number of community service activities by 10%

5.3 Expand the scope of Continuing Education Center (CEC) in providing training to the private and public sectors

5.4 Establish an Office of Development to seek external funds and resources.

Institutional Goal 6: ***Promoting Cutting-Edge and Innovative Support Services***

Objectives:

6.1 Increase the number of smart and technology-based services

6.2 Achieve at least 70% paperless processes

6.3 Establish e-Procurement and e-Payment channels

6.4 Achieve at least 90% on-time (48 hours) resolutions of students' complaints.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24 /10/2010	Policy First Implemented	Central Committee
V 2.0	19 /04/2017	New Mission, vision and new core values (Policy Reviewed)	The Cabinet
V 2.1	16/05/2019	Institutional Goals (Policy Amended)	The Cabinet

Board of Trustees Policy

Policy Owner	Chancellor	Responsible Office	Office of the Chancellor
Approved By	AU Board of Trustees	Effective Date	Dec. 2017
		Next Review Date	Oct. 2020

Definitions

For purposes of this policy, unless otherwise stated, the following definitions and abbreviations shall apply:

- **AU Board of Trustees**: According to its own Bylaws, AU Board of Trustees is the body responsible for making its educational and academic policy in conformity with the overall University vision. In addition, it is responsible for achieving its educational philosophy consisting of teaching, research, and service (service to the university, to students and to the community); which are also the criteria for evaluating the academic and affiliated members of the University.
- **Educational Programs**: The educational programs offered by AU and accredited from the CAA at the Ministry of Education - Higher Education affairs.
- **Approving body:** The relevant body that has authority to approve these policies and procedures.
- **Policy:** A formal statement, which gives effect to AU principles, values, procedures, requirements and strategic goals and improves the University's risk management.
- **Procedure:** A high-level description of all essential steps and responsibilities, and a brief explanation on how work is organized in order to achieve the policy.

Statement

The majority of Board members have no fiduciary investments in AU and the owners of the institution are not involved in its day-to-day operations. The members of AU's 2014 Board are directly involved in academic, financial and investment committees of the Board in order to insure the University's compliance with the MHE Standards.

The assessment of the effectiveness of the Board of Trustees aims to assess the implementation of its policies and how well the University Management is achieving the goals and objectives that have been set for the University.

<u>The effectiveness of the Board of trustees is mirrored from the assessment of:</u>

- Financial stability of the University, and the distribution of AU expenses.
- Degree of achievement of AU objectives as specified in the operational plan.
- Functionality of the approved academic and administrative policies after their first year implementation.
- Success of AU Alumni in the Society.
- Reputation of AU in the eyes of applicants, employers, students, staff and faculty.

- Environment offered to its students, faculty, and non -academic staff.
- Solidity of the University Risk Management plans.
- Quality of AU Faculty.
- Non-interference of the owners on the daily management of the University.
- Availability of the financial resources needed to the implementation of the University objectives.
- The assessment must be made on a two-year periods.
- AU Office of Institutional Planning and Effectiveness (OIPE) is requested to develop the methodology to be used for assessing the above listed items.

Composition of the Board

The Board shall consist of at least five duly appointed or elected members in accordance with Ajman University's policies and procedures.

H.H. Sheikh Humaid Bin Rashid Al Nuaimi, Member of the Supreme Council and Ruler of Ajman, shall nominate by an Emiri Decree the Board of Trustees of Ajman University.

Duties and Authorities of the Board of Trustees

The Board shall ensure compliance and implementation of the academic and educational policies which are compatible with the UAE policies for higher education. It is also responsible for providing guidance at the strategy and policy levels. The trustees work closely with the senior administration to ensure the sustainability of the University.

The Board of Trustees shall be responsible for the following:

1. Appointing and assessing the University Chancellor.
2. Developing regulations, rules and policies consistent with the University mission.
3. Adopting and regularly reviewing the AU admission policy in light of local and international accreditation standards.
4. Approving the principles of education quality control in the University in coordination with the University Chancellor, and in consultation with national and international experts.
5. Adopting proposals for developing and updating the University Bylaws.
6. Adopting the list of the University graduates of each semester.
7. Improving performance in the University and setting evaluation basis and mechanisms.
8. Ratifying cooperation agreements concluded by the University with other universities, organizations, institutions, and any other entities operating within and outside the UAE.
9. Ratifying decisions to establish new colleges, academic departments, or offices to represent the University in the UAE or abroad.
10. Consolidating relations with public and private sector institutions, charities, and community development organizations.

11. Supporting intramural and extramural scientific research in collaboration with local and international institutions, in line with the objectives of higher education in the UAE.
12. Reviewing and deciding on the periodic reports submitted by the University Chancellor or requested by the Board regarding programs, activities and services of the University.
13. Securing the necessary financial resources to support the vision, mission, and strategic goals of the University.
14. Each year, approving the proposed budget of the University for the ensuring fiscal year as well as its strategic plan.

Authorities of the Chair of the Board

The Chair of the Board of Trustees shall undertake the following:

1. Representing the Board before third parties.
2. Setting the agenda of the meetings of the Board in accordance with the Board's requirements and priorities.
3. Inviting Trustees to attend the ordinary and extra-ordinary meetings of the Board in accordance with the Board's requirements and priorities.
4. Chairing the meetings of the Board.
5. Monitoring commitment to the University priorities according to the Board's Regulations and the University's Bylaws.
6. Regulating relations between the Board and the University's Chancellor.

Delegating the Authorities of the Chair

The Chair of the Board may delegate to the Vice Chair any of the authorities mentioned in Article 2.5

Authorities of the Vice Chair of the Board

The Vice Chair of the Board shall undertake the following:

1. Performing the duties of the Chair of the Board of Trustees in the event of the Chair's absence.
2. Overseeing the University and representing it before all parties and institutions; and representing the Board when delegated with such representation.
3. Taking direct executive decisions relating to all academic and administrative aspects of the University without recourse to the Board.
4. Concluding contracts and financial transactions on behalf of the University and ensuring efficient utilization of University resources.
5. Ensuring responsible and effective management of services provided by the University
6. Ensuring coordination between the University's basic reference authorities and their subordinate academic, scientific, and administrative units.
7. Other authorities delegated by the Board.

Delegating the Authorities of the Vice Chair

The Vice Chair of the Board may delegate to the appropriate person or persons some of the authorities mentioned in Article 2.7.

Authorities of the Secretary of the Board

The Secretary of the Board of Trustees shall undertake the following:

1. Assisting the Chair and the Vice Chair of the Board of Trustees in following up the decisions and instructions issued by the Board; and ensuring their implementation in conformity with these Bylaws.
2. Preparing the agenda of the meetings of the Board of Trustees according to the instructions of the Chair or Vice Chair.
3. Preparing invitations for the meetings of the Board of Trustees according to the instructions of the Chair or Vice Chair.
4. Supervising the drafting of the minutes of the Board's meetings and sending copies to all Board's members.
5. Informing the Board of any suggestions relating to the development and amendment of the rules and regulations of the Board and the University.
6. Supervising the documentation and archiving work of all documents issued by the Board.

Meetings of the Board

1. **Regular meetings:** The Board of Trustees shall hold not less than one regular meeting per academic semester. The meeting shall be convened on invitation from the Chair or Vice Chair. The invitation and agenda of the meeting shall be sent to the Trustees at least fourteen days in advance.
2. **Special meetings:** Special meetings of the Board may be held at the call of the Board Chair or Vice Chair. The Board Secretary shall send written notice of such special meetings to all Trustees, along with a statement of the purpose of the meeting, at least 10 days in advance.
3. **Long distance attendance:** A Trustee may attend the Board meetings remotely. Such attendance shall be deemed valid and equivalent to a normal attendance.
4. **The agenda:** The Board Secretary shall prepare the agenda of the Board's meetings, in coordination with the Chair or Vice Chair. The agenda shall be adopted at the beginning of each meeting by approval of the majority of attendees. In case of parity, the vote of the Chair shall prevail.
5. **Minutes of meetings:** Each meeting of the Board shall be minuted. The minutes shall include the names of attending members, a summary of discussions and the decisions and recommendations taken. The minutes of meeting shall be signed by the meeting's Chair and the Board Secretary. A final signed copy shall be sent to each Trustee.
6. **Quorum:** A quorum for the conduct of business by the full Board shall consist of at least half the Trustees along with the Chair or Vice Chair attending. In the event a quorum is not established, the

meeting shall be postponed by 30 days and the quorum for the following meeting shall be established with one third of Trustees along with an attending Chair or Vice Chair.

Decisions of the Board

1. The Board's decisions shall be taken by simple majority of attendees. In case of parity, the vote of the Chair shall prevail.
2. The decisions of the Board may be issued by indirect approval, under the condition of sending the decision proposals to the Trustees. The proposals shall be deemed valid when adopted by the majority within thirty days from the date of sending them, taking into account the determinants of Paragraph 1 of Article 2.11 of these Bylaws.

Proposals for Decisions

Proposals for decisions may be submitted by any Trustee to the Board Secretary at least one week before the meeting of the Board.

Membership Duration

Board membership duration shall be four (4) years from the date of appointment and shall be renewed automatically for a similar period unless a decision to the contrary is issued.

Appointment and Removal of Board Members

1. In case a Trustee seat is vacant, the Chair or Vice Chair may propose new Trustee candidates who shall be appointed by a decision of the Chair.
2. A Trustee may be removed from the Board by a decision of the Broad upon a proposal of the Chair or Vice Chair.

Committees

The Board shall form the following permanent committees, and may, whenever necessary, establish other ad-hoc committees.

Committee for Academic Affairs

Duties and Responsibilities

The Committee for Academic Affairs shall oversee the University curricula and academic programs, the implementation of the University vision, the development of faculty members, the quality of academic programs, and the support of academic activities.

The Committee shall undertake the following duties and responsibilities:

1. Overseeing the formulation and review of regulations and policies related to academic programs.

2. Overseeing the academic support programs including the development of faculty and staff.
3. Making recommendations to the Board of Trustees with respect to the faculty promotion system.
4. Reviewing periodic reports which reflect academic programs' targets, organization, implementation and finance.
5. Overseeing the preparation of the following topics related to the agenda of Board of Trustees:
    a. Updating and cancelation of academic programs.
    b. Conferring academic degrees.
    c. Creation of academic units.

Membership

The Committee for Academic Affairs shall consist of at least three members of the Board of Trustees.

The Committee shall be convened on invitation by the head.

Committee for Administrative and Financial Affairs

Duties and Responsibilities

The Committee for Administrative and Financial Affairs shall oversee the University's financial and property affairs, and the management of strategic issues related to the University administrative affairs.

The Committee shall undertake the following duties and responsibilities:

1. Reviewing the University's annual budget and tuition fees and submitting them to the Board of Trustees for approval.
2. Overseeing the regulatory frame of the University policies for administrative affairs and recommending their approval.
3. Reviewing new construction projects and the implementation of capital improvements and recommending their approval.
4. Reviewing the strategies and targets of contract-related policies and recommending their approval.

Membership

The Committee for Administrative and Financial Affairs shall consist of at least three members of the Board of Trustees.

The Committee shall be convened on invitation by the head.

Committee for Endowment and Investment Management

Duties and Responsibilities

The Committee for Endowment and Investment Management shall oversee the University's endowment and investment through sustainable-income projects that shall provide the University and its affiliated units with long-lasting financial support.

The Committee shall undertake the following duties and responsibilities:

1. Collecting sufficient funds for the enhancement of the quality of the University activities that are not included in the budget.

2. Providing consultancy regarding endowments, the planning of long-term investments, and risk evaluation.
3. Providing a balanced investment frame for endowment targets and market investment opportunities.
4. Monitoring investment performance and measuring investment targets.

Membership

The Committee for Endowment and Investment Management shall consist of at least three members of the Board of Trustees.

The Committee shall be convened on invitation by the head.

The Executive Committee

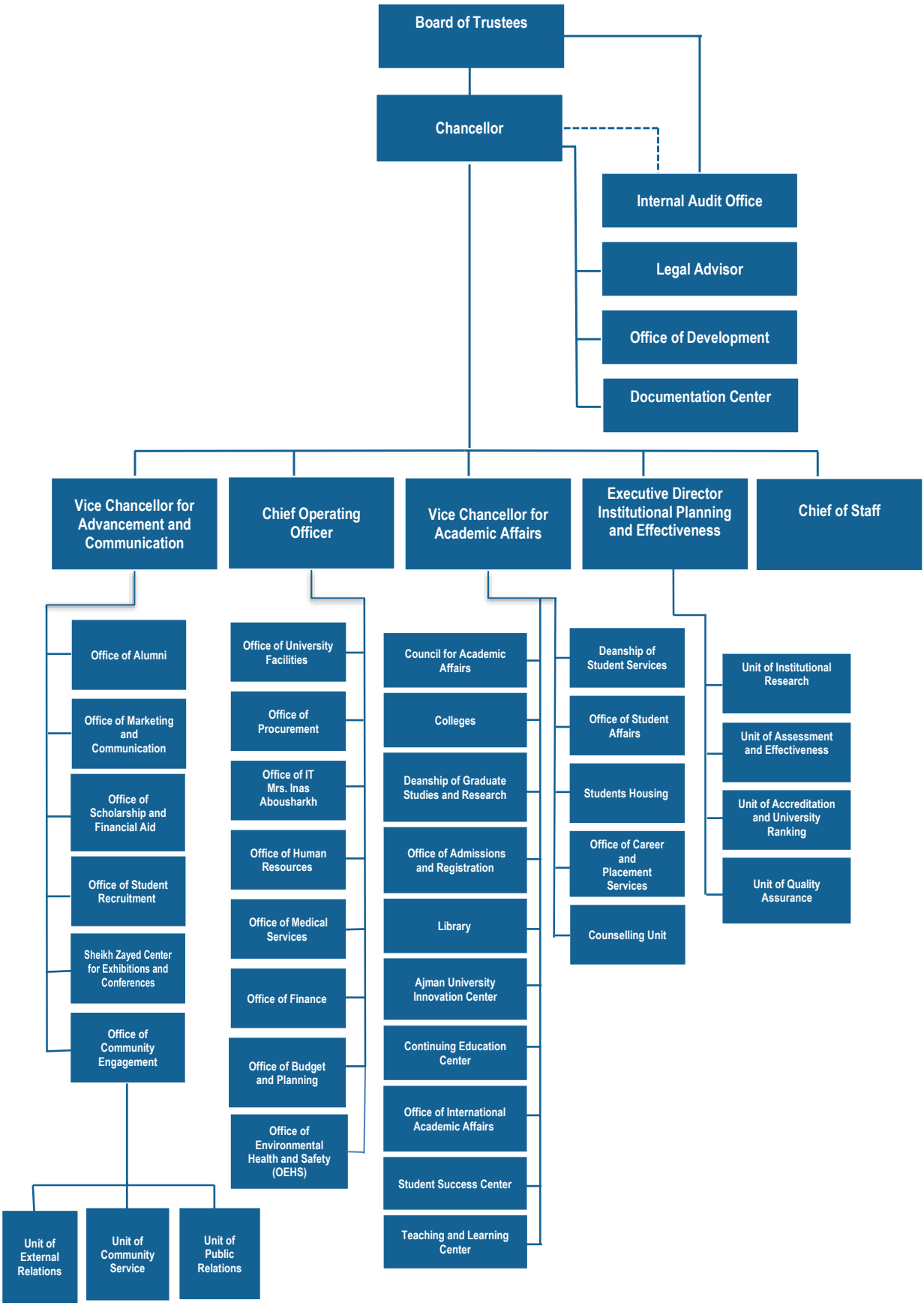
The Executive Committee of the Board of Trustees of Ajman University was established to carry out the affairs of the Board of Trustees during intervals between Board meetings. The committee also provides support and counsel to the Board of Trustees in implementing its decisions and overseeing the various operations in the University. The Executive Committee is composed of the following:

- H.H. Sheikh Rashid bin Humaid Al Nuaimi, Chairperson
- H.E. Sheikh Abdul Aziz bin Ali Al Nuaimi, Member
- H.E. Abdallah bin Humaid Al Mazroui, Member

University Cabinet

The University Cabinet is mandated to provide strategic advice on matters crucial to AU's mission, strategies, and operations. It also serves as a platform to ensure frequent and effective dialogue and information sharing among Cabinet's members about AU key issues, strategic planning, future projects, and unexpected issues that might affect campus life. The cabinet also facilitates the achievement of the University's academic and administrative visions and strategic objectives. The Cabinet includes the Chancellor, the Vice-Chancellor for Academic Affairs, the Vice-Chancellor for Advancement and Communication, the Chief Operating Officer and the Chief of Staff. The Cabinet meets at least twice a month.

Ajman University Organization Chart



The Chancellor

The Chancellor is appointed by the Board of Trustees and is conferred with the authority and accountability to conduct effective decision-making and management of the University as set forth in AU Bylaws. The positions that report directly to the Chancellor are as follow: Vice Chancellor for Academic Affairs (VCAA); Vice Chancellor for Advancement and Communication (VCAC); Chief Operating Officer (COO); Chief of Staff (COS); the Executive Director of OIPE; the Internal Auditor, and the Legal Advisor.

The Vice-Chancellor for Academic Affairs (VCAA)

The Vice Chancellor for Academic Affairs is responsible for overseeing the academic programs and the hiring, promotion, granting contracts, performance appraisal and development plans for faculty members. The VCAA also administers the process of performance review of deans and heads of departments. In addition, the VCAA oversees the Library, the Office of Admissions and Registration, the Deanship of Graduate Studies and Research, the Deanship of Students Affairs, the Innovation Center, the Continuing Education Center, and the Office of International Academic Affairs.

The VCAA chairs the Council for Academic Affairs, which meets at least once every month. In addition, the VCAA holds one-to-one follow-up meetings with college deans, the Registrar, the dean of Graduate Studies and Research and the dean of Students Affair. Additionally, a number of standing committees provide recommendations to the office of the VCAA, supporting the effort to ensure shared governance. Membership typically includes representatives of colleges and administrative and service units.

The Vice-Chancellor for Advancement and Communication (VCAC)

The Vice Chancellor for Advancement and Communication is responsible for promoting advancement programs on campus, and building internal and external relationships with the ultimate goal of significantly increasing community engagement and securing private philanthropic support. This includes responsibility for alumni relations, scholarships, annual funds, major gifts, endowments, and special events.

The VCAC is responsible for the development of communication plans and strategies that encompass social media, website content and design, messaging, marketing and branding activities. The Strategic Plan focuses on the implementation of a broad range of public relations activities relative to the strategic direction of the University and upholds strong relationship with media executives that contribute to informing and influencing the public opinion.

The Chief Operating Officer (COO)

The Chief Operating Officer serves as a strategic advisor on financial, administrative and support policies and procedures. The COO recommends financial objectives, policies, programs and practices that ensure a sound financial structure for the University. The COO also oversees the development of policies, programs and practices that will ensure a sound administrative structure, and is responsible for developing a long-term sustainable economic model, which ensures the viability of the University. The COO provides management oversight for financial planning, budgeting and budget analysis, accounting and business operations, financial control and reporting, procurement and stores activities, medical services, information technology, human resources management of the admin. Staff members, campus maintenance and development, risk management, and facilities operation.

Chief of Staff (CoS)

The Chief of Staff (CoS) provides administrative and strategic support to the Chancellor on a broad range of strategic and operational matters. The CoS works with the Chancellor to develop and implement key strategic initiatives. The CoS provides coordination with the Vice Chancellors, the Chief Operating Officer, Executive Director, deans, managers, faculty members and students. The CoS also serves as a liaison between the Chancellor and external key stakeholders of Ajman University, including alumni, employers and parents.

Executive Director, OIPE

The Executive Director of OIPE is responsible for establishing a culture of evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units in the University. He oversees the Units of institutional research, institutional planning and effectiveness, accreditation and University ranking, and quality assurance. The Executive Director also heads the Institutional Effectiveness Committee (IEC) that is tasked with implementing the assessment and evaluation processes at all levels in the University and ensuring continuous quality improvement. Reshuffle

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V1.0	12 /07/ 2007	Formation of Board of Trustee	Emiri Decree
V1.1	23 /04/ 2012	Board reshuffle	Chair of The Board
V1.2	25 /12/ 2017	Revised – Higher Management role and responsibilities	Chair of The Board

Standing Committees

Policy Owner(s)	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Jul. 2017
		Next Review Date	Jul. 2020

Council for Academic Affairs (CfAA)

The Council for Academic Affairs (CfAA) oversees the development and implementation of the University's education strategy and is responsible for driving the development of the University's academic portfolio and associated academic policies. The CfAA shall meet at least once per month during a regular semester and a quorum of at least 60% of its members is required for the CfAA conduct of business.

Terms of Reference

- To lead the strategic academic development of the University's portfolio and ensure that associated academic policies are implemented consistently and effectively;
- To explore opportunities and initiate the development of academic programs;
- To advise on any matter related to academic affairs;
- To monitor and report annually on the implementation of the academic plan;
- To review, revise, and develop, as necessary, university-wide academic regulations, including but not limited to the Academic Schedule, Registration, Programs of Study, Examinations, and Academic Dishonesty.

Membership

- Vice Chancellor for Academic Affairs (Chair)
- Executive Director of OIPE (Member)
- All College Deans (Members)
- Dean of Graduates Studies and Research (Member)
- Dean of Student Services (Member)
- The Registrar (Member)

Curricular and Study Plans Committee (CSPC)

The Curricular and Study Plans Committee (CSPC) is mandated to ensure that curriculum development and review are consistent with the approved processes and are undertaken in full compliance with the educational policies of the University. The CSPC shall meet at least twice per semester and a quorum of at least 60% of its members is required for the CSPC conduct of business.

Terms of Reference

The Curricular and Study Plans Committee:

- Receives and reviews curriculum guidelines that have been approved by the deans;
- Supervises the curricula of all majors offered by AU Colleges to keep abreast with innovations in different disciplines and to ensure quality;
- Ensures that content of degree programs complies with the policy and goals of the University;
- Develops, with the parties concerned, delivery systems and assessment instruments that measure programs effectiveness;
- Ensures that all degree programs offered by the University meet the accreditation and re-accreditation requirements;
- Represents an academic and intellectual platform for exchanging ideas, enriching experiences and improving practices.

Membership

- Senior faculty member appointed by the VCAA (Chair)
- Representatives from College of Pharmacy and Health Sciences (Members)
- Representatives from College of Dentistry (Members)
- Representatives from College of Medicine (Members)
- Representatives from College Engineering and IT (Members)
- Representatives from College of Architecture, Art and Design (Members)
- Representatives from College of Business Administration (Members)
- Representatives from College of Humanities and Sciences (Members)
- Representatives from College of Mass Communication (Members)
- Representatives from College of Law (Members)

Institutional Effectiveness Committee (IEC)

The Institutional Effectiveness Committee (IEC) is headed by the Executive Director of OIPE who reports to the Chancellor. It has two co-chairs, one responsible for academic units and the other for non-academic units. The IEC has a mandate to ensure institutional effectiveness and continuous quality improvement in all (academic and non-academic) areas in accordance with local and international accreditation standards. The IEC members act as Institutional Effectiveness (IE) coordinators in their respective colleges/units. The IEC shall meet at least twice per semester and a quorum of at least 60% of its members is required for the CGS conduct of business.

Terms of Reference

- Support the University's commitment to continuous improvement by establishing and implementing assessment means as an ongoing and integral part of AU culture with clear emphasis on quality in its programs and services;
- Foster a culture of evidence-based decision-making and continuous improvement using assessment results for closing the loop;
- Work with deans, heads of departments, directors and managers to develop systematic planning and evaluation processes;
- Provide assistance and guidance to all academic and non-academic units in their assessment processes.
- Ensure that learning and programs outcomes (for academic units) and goals (for non-academic units) are aligned with the University's mission, vision and strategic goals;
- Stimulate and guide the enhancement of AU assessment infrastructure and processes;
- Work with the senior administration and the Office of Budget and Planning to ensure efficient allocation of resources for implementing plans as per assessment findings.

Membership

- Executive Director, Office of Institutional Planning and Effectiveness (Head)
- Two senior faculty members appointed by the Chancellor (Co-Chairs)
- Dean of Student Services (Member)
- Chief of Staff from Chancellor Office (Member)
- Faculty representative from College of Engineering and IT (Member)
- Faculty representative from College of Architecture, Art and Design (Member)
- Faculty representative from College of Mass Communication (Member)
- Faculty representative from College of Business Administration (Member)
- Faculty representative from College of Pharmacy and Health Sciences (Member)
- Faculty representative from College of Dentistry (Member)
- Faculty representative from College of Medicine (Member)
- Faculty representative from College of Law (Member)
- Faculty representative from College of Humanities and Sciences (Member)
- Faculty representative from the Unit of General Studies (Member)
- Representative from Office of Budget and Planning (Member)
- IT Manager (Member)
- Director, Office of Development (Member)
- Representative from Office of Institutional Planning and Effectiveness (Member)

Council of Research

The Council of Research has been established under the Deanship of Graduate Studies and Research (DGSR). The main purpose of Council of Research is to develop policies and procedures to significantly enhance the quality, relevance, volume, and impact of research carried out at Ajman University (AU). The Council of Research shall meet at least twice per semester and a quorum of at least 60% of its members is required for the Council of Research conduct of business.

Terms of Reference

- To review and make recommendations in matters related to promoting excellence in research and scholarly work;
- Foster a vibrant and stimulating research ecosystem at AU;
- Increase the number of faculty members publishing in peer-reviewed high-quality journals;
- In collaboration with colleges and departments, define research targets and extend support to achieve these targets;
- Develop and implement an effective internal funding mechanism to provide research grants to faculty in all colleges;
- Provide opportunities to faculty and graduate students to obtain external research grants and nurture partnerships with organizations and businesses;
- Encourage multidisciplinary research among various colleges and departments;
- Enhance the research culture at AU by organizing the annual Research Day and other activities including research awards for outstanding faculty and students;
- Assist colleges in organizing national and international scientific conferences;
- Assist and oversee the operation of College Research Committees in all colleges to promote and encourage multi-disciplinary research activities between colleges;
- Promote the culture of research at undergraduate level;

Membership

- Dean of Graduate Studies and Research (Chair)
- Heads of Colleges Research Committees (Members)

Institutional Planning Council (IPC)

The mission of IPC is to monitor the implementation of the Strategic Plan of the University, periodically assess its progress, and make recommendations to the Cabinet on the development of the next strategic plan. It shall also recommend short-term institutional plans and priorities and ensure that the annual budget allocations reflect the approved institutional plans.

Terms of Reference

- Monitor the implementation of the Strategic Plan.
- Prepare an annual report on the progress towards achieving the goals of the Strategic Plan.
- Perform a mid-term review of the Strategic Plan based on feedback from various stakeholders.

- Based on the effectiveness of the current Strategic Plan and feedback from various sources, make recommendations to the Cabinet regarding the next Strategic Plan.
- Recommend institutional priorities and plans to the Cabinet on an ongoing basis.
- Ensure that the annual budget allocations appropriately reflect the institutional plans and priorities as approved by the Cabinet.
- Seek the involvement of University community in the planning process.
- Prepare an annual assessment report on the effectiveness of IPC.

Membership

- Executive Director of OIPE
- Dean of College of Business Administration
- Dean of College of Engineering and IT
- Dean of College of Dentistry
- Dean of College of Medicine
- Finance Manager
- Budget Manager
- Head of Student Success Center
- Three senior faculty members
- The IPC can invite the Chair of the Student Council as and when required

The IPC shall hold at least three meetings per academic year, and a minimum of seven (7) members shall constitute the quorum.

Council for Graduate Studies (CGS)

The Council for Graduate Studies has been established under the Deanship of Graduate Studies and Research (DGSR). The main purpose of the Council of Graduate Studies (CGS) is to propose and set the uniform guidelines for all graduate programs offering at AU, make proposals to enhance the effectiveness of existing graduate programs, to assess the suitability of new graduate programs and promote AU graduate programs locally, regionally and internationally. The CGS shall meet at least twice per semester and a quorum of at least 60% of its members is required for the CGS conduct of business.

Terms of Reference

- To review and make recommendations in matters related to promoting excellence in graduate studies;
- Ensure consistency and compliance of all graduate programs with relevant policies;
- Continually enhance the quality and relevance of existing graduate programs;
- Encourage initiation of new graduate programs reflecting global trends and catering to local and regional market needs;

- Assist colleges in recruiting outstanding graduate students through graduate scholarships and awards from internal as well as external sources;
- Cooperate with colleges in developing joint graduate programs with international academic institutions.

Membership

- Dean of Graduate Studies and Research (Chair)
- One representative from each Graduate Program (Members)

Planning and Budgeting Committee (PBC)

The Planning and Budgeting Committee (PBC) is responsible for the review of all policies and budgets, including but not limited to the operating budget, the capital budget, strategic plans, and prioritization processes. The Committee shall make recommendations to the COO regarding the development, implementation, and monitoring of these budgets, plans and prioritization processes with academic policy, as well as their alignment with the goals of the University. The PBC shall meet with College Deans and Office Managers at least once per year and a quorum of at least 75% of its members is required for the CGS conduct of business.

Terms of Reference

- Allocates the University budget in accordance with the strategic objectives and prioritization processes;
- Develops and reviews, as necessary, policies supporting long-term academic planning;
- Identifies the University's academic and fiscal priorities;
- Assists in the preparation of the University Budget through consultation with Deans and Managers, and by reviewing budgetary issues with them;
- Submits recommendations to the COO prior to finalizing the annual budget;
- Introduces any proposed changes to the budget and the budget system.

Membership

- Senior faculty member appointed by the COO (Chair)
- Executive Director, Office of Institutional Planning and Effectiveness (Member)
- Manager, Office of Finance (Member)
- Manager, Office of Human Resources (Member)
- Senior Procurement Officer, Office of Procurement (Member)
- Budget Supervisor, Office of Finance (Member)

Research Ethics Committee (REC)

A Research Ethics Committee (REC) has been formed under the Deanship of Graduate Studies and Research (DGSR) to ensure that research work involving human or animal objects follows specified guidelines. The

guidelines and procedures developed by the REC are in accordance with all applicable national and international standards. These policies and guidelines have been approved by AU's Council for Academic Affairs. The Dean of Graduate Studies and Research appoints the Head of REC after the approval of the Vice Chancellor for Academic Affairs.

All research work conducted at AU that requires ethical approval for research activities must obtain an approval letter from the REC before initiating research. This requirement is applicable to both funded and non-funded research projects. The REC shall meet at least twice per semester and a quorum of at least 60% of its members is required for the CGS conduct of business.

Terms of Reference

- Develops and provides guidelines and forms needed for ethical approval of research proposals submitted by Ajman University faculty that contain animal and/or human subjects or involve systematic data collection from human subjects using established research methodologies;
- Ensures research integrity by identifying potential concerns at an early stage;
- Promotes awareness and understanding of ethical issues and good conduct in research;
- Reviews all applications in need of ethical approval and issues approval letters to the applicants that satisfy the research ethics criteria of the REC;
- Prepares an annual report at the end of each academic year for submission to the Dean of Graduate Studies and Research. The report includes the number of applications received, their classifications and final decisions.

Membership

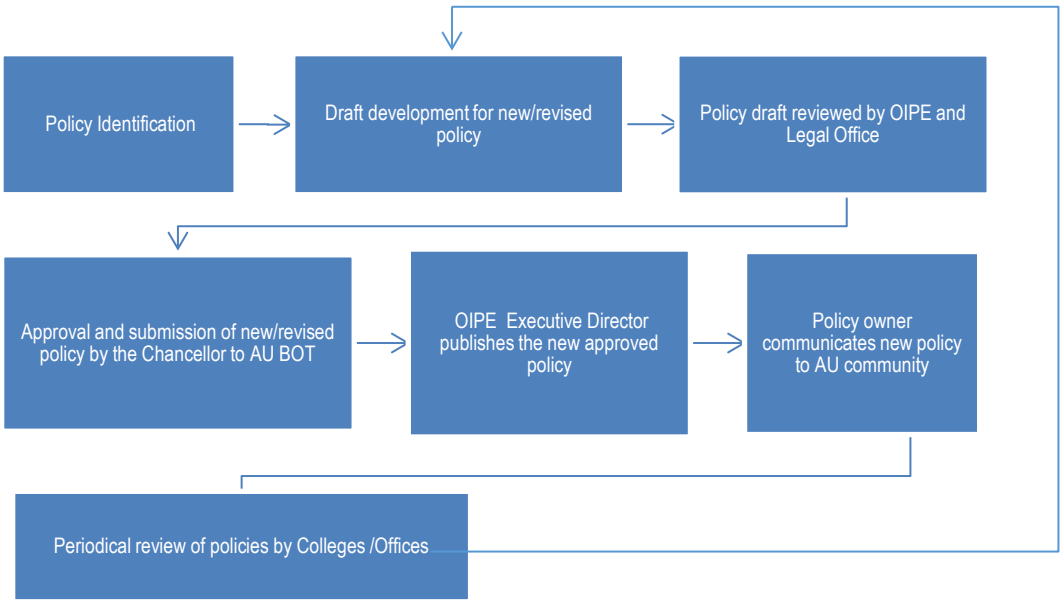
- Senior faculty member approved by the VCAA (Chair)
- Two faculty representatives from College of Pharmacy and Health Sciences (Members)
- Two faculty representatives from College of Dentistry (Members)
- Faculty representative from College of Law (Member)

Committees at College and Departmental Levels

Each College and Department has some standing committees whose members are appointed by the Deans and Heads of Departments. These include College Councils and Departmental Councils. With the recent establishment of the Office of Institutional Planning and Effectiveness, each college was required to form a College Effectiveness Committee (CEC) and each Department has now formed an Assessment and Continuous Improvement Committee (ACIC). The IEC, CECs and ACICs work in harmony to ensure that assessment and continuous improvement becomes an integral part of evidence-based planning and development carried out at all levels in AU. In addition to various standing committees, there are a number of ad-hoc committees formed at college and department level.

Procedures for development, review, approval and publishing of policies

The procedure for development, review, approval, and dissemination of AU policies is shown in the flowchart below.



Flowchart for policy development, review, approval and publication.

Each college/office is required to periodically review and determine whether any of its policies and procedures require revision, replacement, or suspension. The policy owner prepares a first draft for the new policy or suggested revisions in an existing policy, based on an inclusive process including feedback from various stakeholders, and forwards it to the Office of Institutional Planning and Effectiveness (OIPE) and the University's legal advisor for their review. Once the policy assessment is finalized, the new or revised policy must be approved by the Chancellor and the Board of Trustees (BOT). After approval, the policy is published by the OIPE and communicated via circulars and AU website by the policy owner to all concerned parties in the University. All policies are required to be reviewed and revised as necessary at least once every three years by the policy owner in coordination with the OIPE.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	19/09/2010	Formation of Standing Committees	The President
V 2.0	17/07/2016	New committees and review of existing ones	Interim Chancellor
V 2.1	24/07/2017	Committees restructure and creation of new committees at college and department level	The Cabinet

Policy on Policies

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Oct. 2018
		Next Review Date	Aug. 2021

Purpose

a. This policy serves to ensure consistency and quality in the process of developing, reviewing, approving, amending or withdrawing University policies. The reliability and transparency of the process will enhance best practice and efficiency, as well as ensure that University policies are thoroughly reviewed, consistent, and broadly circulated.

b. This Policy does not apply to governance documents such as the Board of Trustees Bylaws and AU Bylaws, in addition to operational policies and procedures that may be approved following the application of a University Policy.

Definitions:

As used in this Policy on Policies, the following terms shall have the meanings indicated.

a. "University policy" or "policy" means an official, written University directive that establishes broad application across the University on the conduct of University business and members of its community. Furthermore, it enhances the University's mission, achieves compliance with laws, promotes operational efficiency and reduces institutional risk.

b. The term "University policy" or "policy" does not include, Board of Trustees' Bylaws, resolutions, or operating procedures.

c. "Responsible office" is the University office, department, or unit responsible for sponsoring, implementing, enforcing and answering inquiries about a University policy.

d. "Policy owner" means the University Higher Management, Manager, Department head, or other person who manages or directs the responsible office.

e. The "Ajman University Policies and Procedures Manual" means an electronic portal on the University website that is easily accessible from the University's home page and that contains a collection of current University policies. It could also be provided in the form of hard copy document.

Statement

All University policies shall be developed, approved and published in accordance with the standards outlined in this Policy and shall appear online in the Ajman University Policies and Procedures Manual. These shall also be documented in the form of hard copy.

Policy Standards and Procedures

a. A University policy

- University policies will be written and maintained in customary format to ensure uniformity.
- It is the policy owner's responsibility to designate the appropriate responsible University office charged with the tasks of implementing and enforcing the policy.
- A University policy should be written so that it is clear and concise. It should contain sufficient information on the subject without being excessive in length or complexity.
- The University reserves the right to amend, modify, delete, or add any policy at any time in order to meet the needs of the University community, in order to comply with law, or for any other reason the University may determine. Nothing in this Policy on Policies diminishes or interferes with the ultimate right of the University's Board of Trustees to adopt, rescind, modify, amend, or replace any University policy on any subject.

b. Procedures for Review and Approval of Policies

- Any individual or unit may identify the need for a new policy, but only the policy owner can be accountable for a policy's implementation and enforcement.
- The policy owner ordinarily prepares the first draft of a proposed or revised policy by using the "New/ Policy Change Request Form". The policy owner is responsible in the first instance for developing a draft policy or revising a current policy in consultation with key stakeholders. At any time in the drafting process, the Office of Institutional Planning and Effectiveness (OIPE) is available for consultation.
- Once the policy is approved and signed, the policy owner will forward an electronic copy to the OIPE and the University's legal advisor for their review. Once the policy assessment is finalized, the new policy or the substantially revised policy must be approved by the Chancellor and the Board of Trustees (BOT).
- Following approval by the BOT:
  - The OIPE will maintain copies of signed university policies and policy revisions.
  - The OIPE will update the Policies and Procedures Manual and ensure that the University Policy is electronically published in Ajman University's website.
  - The policy owner shall ensure that the policy is appropriately announced and communicated to the University community.
  - A proposed new or revised policy becomes an official policy of the University and goes into effect after its approval by the BOT.

c. Policy change or review could be of a substantial or minor nature.

- **A substantial revision** is one that introduces a significant change to the scope or consequence of a policy. Hence, a new policy or the substantial revision of an existing policy requires the approval of the Chancellor, who in turn shall submit the policy for approval to the BOT.

- **A minor revision** is one that does not affect the basic requirements, principles, scope or intent of a policy. It could consist of technical corrections, updates or clarifications. For such changes, only the approval of the policy owner and the OIPE are required.

d. Periodic Review and Amendment of Policies.

- Each responsible office shall periodically review all University policies for which it is responsible to determine whether a policy requires revision, replacement, or withdrawal because of a change in applicable law or business process.
- A responsible office may deem it appropriate to retire an existing policy or consolidate two or more policies. Such changes should be discussed in advance with the OIPE and the policy owner.

Request Form for New/Revised Policy

This form is to be used when recommending either a new policy or revision of an existing policy. It covers creation of a new University policy, the revision of an existing policy or the withdrawal of an existing policy. The reviewer can use the University "**Policy on Policies** "for assistance while filling the form.

The form must be signed by the policy owner before forwarding it to the OIPE by electronic mail.

CONTACT INFORMATION

Policy Name	Date
Policy Owner /Responsible Office	

Policy reviewer(s):

Name	Position	Department/Office	Contact	Signature

POLICY INFORMATION

Policy Proposal to:

- ☐ Create new policy
- ☐ Withdraw Policy
- ☐ Update existing Policy
  - ☐ Comprehensive Revision
  - ☐ Minor Revision

Rationale behind the change

- Briefly describe the reason behind the change which could be academic, accreditation, operational, technical, or legal, etc…
- Indicate whether any other policy or document will be impacted by the change

Outline of change

- For a new policy or comprehensive change, please attach the corresponding document(s) and list these below.

Signature of Policy Owner/Proposer

Name _____ Signature _____

Date _____

Approval and Recommendation

Office	Comments	Date
OIPE		
Legal		

☐ Recommend to proceed ☐ Not Recommend to proceed

Comments

Final Approval

University Chancellor _____ Signature _____ Date _____

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	New Policy - Draft	Executive Director - OIPE
V 1.1	02/01/2019	Policy finalized and implemented	Executive Director - OIPE

B.Quality Assurance

جامعة عجمان
AJMAN UNIVERSITY

Quality Assurance Policy

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Mar. 2019
		Next Review Date	Aug. 2022

Purpose

The purpose of the Quality Assurance Policy is to ensure the effectiveness and continuous improvement of all offered programs, academic and administrative support services, and the overall governance at Ajman University. The successful realization of this objective will significantly contribute towards the attainment of University's strategic goals and its mission.

Statement

As an institution that values excellence in teaching, research, and creative activity, AU shall develop a rigorous quality assurance program to maintain and further build upon the existing strengths of its academic programs, academic and administrative support services, and its governance system. AU's commitment to excellence shall be achieved through continuous self-assessment based on well-defined processes, critical evaluation, and self-improvement of all academic and non-academic units. For this purpose, AU shall implement and promote continuous quality enhancement measures in teaching, learning, research, and all relevant support services by involving internal and external stakeholders

Quality Assurance Objectives

To maintain and further improve its level of commitment to academic standards, quality assurance, and continuous enhancement, the University shall strive to achieve the following objectives:

To maintain and further improve its level of commitment to academic standards, quality assurance, and continuous quality enhancement, the University shall strive to achieve the following objectives:

1. Development and promotion of a culture of evidence-based assessment and continuous improvement across all units in the University by:
    a. Actively promoting a culture of evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units in the University;
    b. Enhancing the understanding and implementation of new processes and procedures developed for continuous quality improvement and closing the loop;
    c. Extensively involving faculty, staff, students and other internal as well as external stakeholders in the quality assurance process;
    d. Increasing student representation and involvement in the decision-making process related to matters concerning their academic programs, relevant support services, and student life.

2. Assurance of academic integrity and upholding of academic quality standard through the preclusion of academic misconduct, including plagiarism and cheating.
    a. Promote and implement academic integrity policy and procedures (for details refer to "Student Academic Integrity Policy) to ensure that confirmed claims of plagiarism and academic dishonesty are recorded;
    b. Extensively educate and involve students and faculty in the application and use of Turnitin plagiarism detection software;
    c. Ensure that there is an appropriate level of vigilance against academic fraud and the academic integrity guidelines are applied fairly and consistently while safeguarding individual privacy.
3. Promote the communication and implementation of AU's quality assurance mechanisms as outlined in its Quality Assurance Manual in order to achieve continuous quality enhancement across all units.
    a. Provide relevant, pertinent and timely information for development and assessment of strategic and operational plans at units and the university level;
    b. Make evidence-based recommendations to higher management, deans, and line managers for continuous quality enhancement;
    c. Prepare effectiveness reports based on the analysis of institutional research data and suggest actions to help achieve the specified targets;
    d. Provide assessment related training through various workshops on a regular basis;
    e. Regularly involve faculty, students, staff, internal and external stakeholders in the quality assurance process;
    f. Improve the process of collecting, organizing, and disseminating institutional research data.
4. The quality assurance mechanism at AU shall be implemented in a professional manner, safeguarding the diversity of students and staff, and preventing any kind of discrimination, harassment or intolerance of any kind.
    a. Ensure implementation of equal employment opportunities in recruitment and selection processes;
    b. Recommend measures to facilitate and address discrimination and intolerance complaints;
    c. Assess the effectiveness of "student voice" complaints system and make improvements accordingly.

Application

This policy shall apply to all academic areas and key administrative, service and support units of the University operations. AU shall develop and utilize the necessary processes, templates/forms to regularly monitor, review and assess the effectiveness of all aspects of its operations and educational programs. The evidence-based outcomes of the quality assurance processes shall be used to make recommendations to

college deans, office managers, and AU's higher management for continuous improvement in the academic and administrative areas.

Assessment of Academic Programs

- Selecting and designing instruments for performance measurement (for direct and indirect assessment).
- Assessing the achievement of course learning outcomes (CLOs) for all offered courses in each semester
- Assessing the achievement of program learning outcomes (PLOs) of all academic programs
- Evaluating students' overall satisfaction with their academic programs, teaching, and administrative and support services provided to them
- Assessing alumni's satisfaction with the education received at the University
- Assessing students' participation and satisfaction with their activities
- Using assessment results to improve the teaching and learning environment at AU.

Assessment of Support Units

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

Support to Higher Management

- To provide analytical and technical assistance to AU's higher management to support strategic planning and operational decision-making
- Advise and oversee the preparation of self-studies and development initiatives.

Office of Institutional Planning and Effectiveness

For effective implementation of its quality assurance policy, the University has established the Office of Institutional Planning and Effectiveness (OIPE), which is headed by an Executive Director who reports directly to the Chancellor. The role and responsibility of OIPE are summarized below.

Role and responsibility of OIPE

The Office of Institutional Planning and Effectiveness (OIPE) is entrusted with establishing a culture of evidence-based assessment, evaluation, and continuous improvement for all academic and non-academic units of the University. It shall collect, analyze, and disseminate authentic institutional data, and monitor

the assessment and continuous improvement processes of all units of the University, and evaluate their outcomes, with the ultimate aim of achieving the strategic goals and the mission of the University.

The OIPE shall be responsible for:

- Ensuring effective implementation of University's quality assurance policy across all units
- Monitoring, coordinating and providing support for all assessment processes for academic and non-academic units;
- Overseeing the functioning of all assessment related committees
- Evaluating students' overall satisfaction with academic and administrative services
- Evaluating satisfaction of faculty and staff concerning matters of their interest
- Overseeing the outcome of alumni's satisfaction with the education received at the University
- Analyzing assessment data and reviewing assessment reports
- Preparing the annual effectiveness report on the basis of effectiveness reports received from all academic and non-academic units
- Preparing assessment-based recommendations for Colleges, administrative and support units
- Monitoring the implementation of recommendations and remedial actions.

Institutional Research

Continuous improvement is possible through appropriate accessibility to valuable data, as an aid to strategic and operational decision making. Institutional research as an essential part of the OIPE activities shall play a very important role of promoting this development and delivering academic quality assurance.

The institutional research activities shall be carried out regularly in order to assess the institutional performance and determine the effectiveness of all academic and non-academic units and to ensure continuous quality enhancement. In achieving this objective, institutional research shall be responsible for systematic data collection, analysis and interpretation, in order to improve the quality of academic programs as well as to enhance the performance of various units and operations supporting the academic programs. As the sole upkeep of institutional database information related to student, faculty, academic programs, and national higher education data, institutional research shall serve as the main voice of the University.

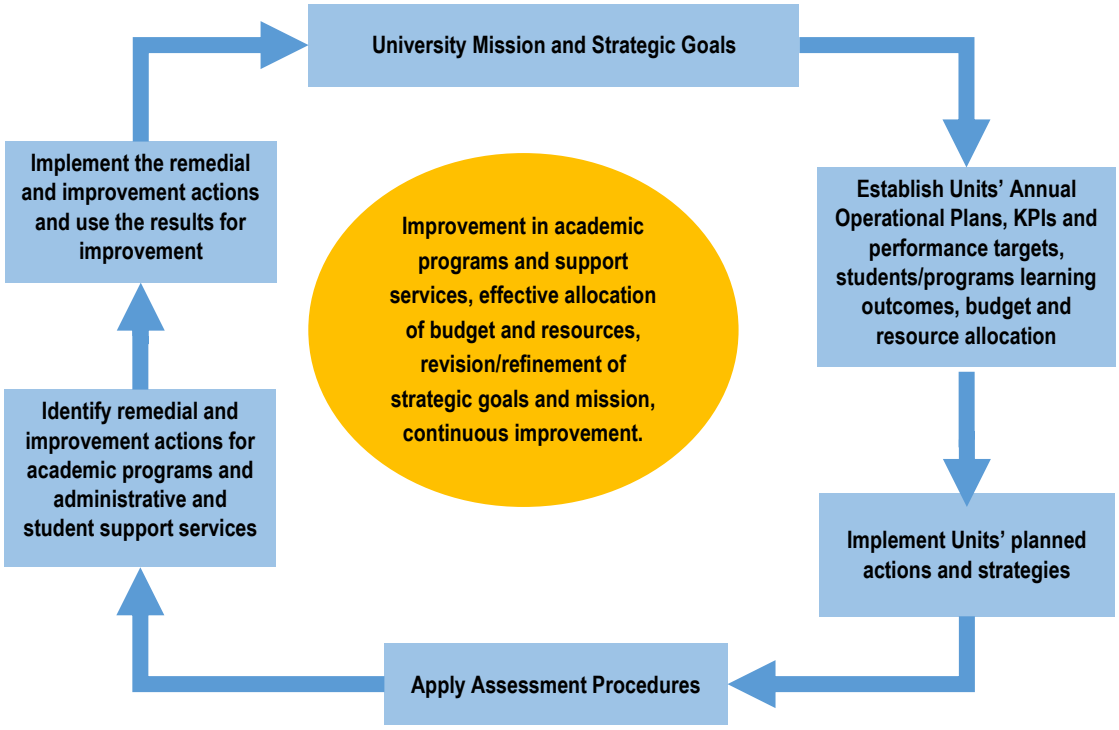
The institutional research activities shall be carried out regularly to meet the assessment cycle of the University. The activities could be summarized as the following:

- To provide analytical and technical support to AU management to support strategic planning and operational decision-making.
- To produce the University Fact Book, which is available for use by all members of the University community.
- To provide data to the Center for Higher Education Data and Statistics (CHEDS).
- To create and maintain databases of student enrolment, academic performance, retention, attrition, and graduation rates.
- To produce annual University report.

Institutional Effectiveness (IE) Model

Institutional Effectiveness is an ongoing process integrating assessment planning, systematic data gathering, analyzing and interpreting the data in order to improve the quality of academic programs as well as to enhance the performance of various units and operations supporting the academic programs. To implement best academic practices the OIPE shall adopt a well-designed Institutional Effectiveness Model (IE Model) which shall provide the institution with the capability to determine whether the objectives of its academic, student, and administrative service units, and the learning outcomes of its academic programs and courses, are being met. The IE model, as shown in Figure 2 below, shall be implemented across all units (academic and non-academic), and details of the main components of the assessment process are described in length in the quality assurance manual.

Figure 2: The Institutional Effectiveness Model (IE Model)



The main components of the assessment process are as follows:

1. Development of College mission and goals aligned to University mission and goals.
2. Development of Department/program mission and goals aligned to the College mission and goals.
3. Development of program learning outcomes (PLOs).
4. Ensuring that the programs learning outcomes (PLOs) are aligned to UAE's QF-Emirates and consistent with the CAA standards.
5. Developing course learning outcomes and their mapping matrix to the program learning outcomes.
6. Selecting and designing assessment instruments for program learning outcomes and course leaning outcomes which include:

a. Direct assessment instruments
b. Indirect assessment instruments

7. Setting benchmarking criteria for the achievement of program goals, program learning outcomes and course learning outcomes.
8. Detailed assessment cycle.
9. Data analysis and assessment results.
10. Distribution of assessment results.
11. The process of reviewing assessment results and developing remedial and improvement actions as well as highlighting best practices to be sustained or adopted.
12. Setting a detailed plan for implementing improvement and remedial actions.
13. Monitoring the implementation of the actions and closing the loop.

Assessment Process

The OIPE shall continually assess all programs and support services in accordance with the process described in the Quality Assurance Manual that provides tools and guidance to academic, administrative/supporting departments for developing and implementing their assessment plan for continuous improvement. The process is a requirement for all units and its implementation is monitored by OIPE with the support of various standing committees such as the Institutional Effectiveness Committee (IEC), the Continuous Improvement Committees (ACICs), and the College Effectiveness Committees (CECs). To assist the faculty and staff in properly carrying out the assessment process, OIPE organizes assessment workshops.

Assessment Outcomes

a. The assessment procedures shall evaluate the extent to which the KPIs of units and PLOs of academic programs have been achieved.
b. On the basis of the evaluation results, remedial and improvement actions for academic programs as well as administrative and student support services shall be identified.
c. The loop shall be closed by assessing the impact of these remedial and improvement actions.
d. The evaluation results help in improving the academic programs as well as the support services, effective allocation of budget and resources, revision/refinement of strategic goals and mission, and above all continuous improvement of programs and services.

The IE Model shall be consistently applied for assessment and evaluation of all academic and non-academic units leading to continuous quality improvement of academic programs as well as of administrative and support services through closing the loop with the ultimate aim of achieving the strategic goals and the mission of the University.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy on Institutional Effectiveness	QAIRU
V 1.1	20/09/2012	Minor change - reporting responsibility	QAIRU
V 2.0	13/03/2019	New Quality Assurance Policy	Executive Director - OIPE

Planning Policy

Policy Owner	Executive Director - OIPE	Responsible Office	OIPE
Approved By	Chancellor	Effective Date	Jan. 2019
		Next Review Date	Jul. 2021

This policy describes the systems and responsibilities for establishing the strategic direction and planning processes at Ajman University (AU) that will support the accomplishment of institutional goals and achieving its mission.

Purpose

The purpose of planning is to help the University's academic and non-academic units focus on opportunities for growth and improvement, in alignment with University's strategic initiatives, and promoting its mission, vision, and values. The strategic priorities of the University are integrated within its long-term strategic plan and short-term operational plans.

Policy Statement

Ajman University adopts a systematic process for the development and review of a long-term (five-years) strategic plan and short-term (annual) operational plans. The process of developing the plan provides an opportunity for collective reflection and strategic debate and alignment, drawing on the wealth of knowledge acquired through the recommendations of local accrediting bodies, regional developments and global trends. Ajman University strategic plan, comprising of six strategic goals, is the outcome of extensive meetings and focus groups with different constituents of the University including alumni, employers, partners, parents, faculty, staff, and students. It is supplemented by an Initiatives to Outcomes (ITO) document which provides explicit details and concrete measures for meeting each of the University's over-arching six Strategic Goals. The Strategic Plan is reviewed near its mid-term by all stakeholders, AU Cabinet, and subsequently by the Board of Trustees to determine if some necessary changes are required. To demonstrate alignment with the University's Strategic Plan, a short-term Annual Operational Plan (AOP) is required from each academic and non-academic unit, and budget allocation is contingent on evidence that the requested resources are aligned with the University's Strategic Goals.

Planning

The Strategic Plan will be developed, reviewed, shared, and updated according to the following processes:

1. The planning process will usually commence at the beginning of the final six month period covered by the current Strategic Plan.
2. The process will be led by the Chancellor and may be conducted as an internal process, or with the assistance of external facilitators/consultants.
3. It shall be an inclusive process involving all AU stakeholders including alumni, employers, partners, parents, faculty, staff, and students.

4. A five (5) years strategic plan, after approved by the AU Cabinet, shall be submitted to the Board of Trustees to be formally approved.
5. Once approved by the Board, the Strategic Plan will be made available to all AU stakeholders.
6. The Strategic Plan will require each AU academic and non-academic unit to develop a short-term Annual Operational Plan (AOP) to demonstrate alignment with the University's Strategic Plan. The AOPs are developed and implemented each year.
7. Budget allocation is contingent on evidence that the requested resources are aligned with the University's Strategic Goals.
8. AU Cabinet and subsequently the Board of Trustees undertake two years after the implementation of the Strategic Plan a major review to determine if some necessary changes are required. All stakeholders are involved in the review process.
9. Soon after the completion of fourth year of the Strategic Plan, AU initiates the preparation and development of the next iteration. The process begins with a systematic review of outcomes, and culminates with a robust assessment process to close the loop.
10. In the fifth and final year, the University undergoes a major review of the Mission, Vision and Goals. Upon completion of the assessment and reviews, the strategic planning cycle begins anew with future strategic goals, objectives, KPIs and targets.

Responsibilities

The Chancellor, as the Chief Planning Officer, is ultimately responsible for the overall planning process of the University. The Chancellor shall form an ad hoc task force to lead the process of development of strategic plan. The task force shall engage the Office of Institutional Planning and Effectiveness (OIPE), as it is the central player in assessment and implementation of the AU Strategic Plan within the context of organizational effectiveness.

OIPE plays a vital role in providing relevant, pertinent and timely information for development and assessment of strategic and operational plans at units and the university level. To this end, The OIPE has formed a high-level Assessment Planning Committee (APC) that comprises of the OIPE Executive Director and two co-chairs of Institutional Effectiveness Committee (IEC). The APC is responsible for planning, directing, and monitoring the assessment, continuous improvement, and evidence-based planning and budgeting across all units in the University. The IE coordinator for each college is the head of College Effectiveness Committee (CEC) and shall provide support and guidance to all Assessment and Continuous Improvement Committees (ACISs) at the department levels. The roles and responsibilities of two co-chairs of the IEC members, for academic and non-academic units, as well as for Institutional Effectiveness (IE) Coordinators are given in details in the Quality Assurance Manual.

Budgeting and Resource Allocation

AU has developed a systematic process for budgeting and resource allocation. About six months before the start of every academic year, which is also the start of the new financial year, heads of all academic and non-academic units are required to submit their Business Plans, using specific templates, to the Office of Budget and Planning. The Business Plan summarizes all manpower and budget requirements for the next academic/financial year and provides information about new hiring plans, operational expenses, capital expenditure, major initiatives to be taken, and other development plans. The Business Plans are prepared in accordance with the strategic priorities set by the higher management. The Planning and Budgeting Committee (PBC) shall review each Business Plan keeping in view the strategic priorities and University's

Strategic Plan, in order to ensure that budget and resources are efficiently and effectively allocated across all units of the University. The PBC shall discuss these Plans with corresponding unit heads, and make recommendations to the higher management concerning budgeting and resource allocation. The budget, once approved by the Cabinet, is presented to the Board of Trustees for its review and approval.

Evaluation and Effectiveness of Units

The Institutional Effectiveness Model developed by Ajman University will be followed consistently for assessment and evaluation of all academic and non-academic units leading to continuous quality improvement through closing the loop with the ultimate aim of achieving the strategic goals and the mission of the University. Each year the University shall carry regular assessment and evaluation of all Units by using a variety of assessment tools. The effectiveness results shall assess the Units level of efficiency in meeting their objectives and shall contribute in defining remedial and improvement action to academic programs as well as administrative and support services. They also contribute in revising the Mission, Vision, and Goals of AU, if so required. The Quality Assurance Manual illustrates the process of assessment and quality enhancement at AU and also provides guidance to academic, administrative/supporting departments for developing and implementing their assessment plans for continuous improvement. At the end of the academic year, all units submit their assessment and effectiveness reports to OIPE.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy to identify internal mechanism and guide resources allocation	University Central Committee
V 2.0	2/01/2019	New Planning Policy with focus on 5 years strategic plan	Executive Director - OIPE

Risk Management Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Finance
Approved By	Chancellor	Effective Date	Sep. 2017
		Next Review Date	Aug. 2020

Purpose

This policy aims at identifying the probability of having negative consequences of certain incidents that might occur during the normal course of operations and thus clarifying the coordinated activities to control AU's business continuity with regards to such risks. Each activity or task carries some element of risk. Therefore, it is imperative to have a proper risk management policy to identify and tackle risks that may affect the functioning and outcomes of various business operations, tasks and activities.

Statement

The University's management introduces this risk management policy as an institutional framework that provides guidelines to monitor and track possible risk factors that might cause disruptions to the smooth functioning of business operations, and thus hinder the fulfillment of its mission or strategic goals. The AU risk management policy is tailored around international standards and the CAA risk management policy (Standards 2011 – 2.3 (2.3.1-2.3.4)).

Academic Risk

Identification of Potential Risks:

- Students finding difficulty in meeting minimum requirements to proceed in the program.
- Students experiencing difficult financial or work problems that can lead to absence from lectures, tests, assignments, etc.
- Insufficient number of qualified faculty.
- Discontinuation of the program for any reason.
- Non availability of sufficient clinical sites for medical students' training

Proactive Measures Plan:

- Implementation of AU quality assurance policies and procedures at different levels (course level, program level and college level) and reporting any related deficiencies to the higher levels.
- Adoption of continuous assessment and improvement strategies.
- Selection and retention of high quality faculty to satisfy the requirements of the program in terms of teaching and research.

- Implementation of proper academic advising system (counseling, coaching, advising), and follow-up of students' progression.
- Building long term relationship with the Ministry of Health, Health Authorities and Health Zones in the UAE.
- Establishing training agreements with more reputable hospitals in Ajman and neighboring emirates to expand the base of available clinical sites and create significant redundancy.
- Proper teaching load allocation to faculty in such a way that the faculty can carry his/her teaching, advising and research activities in a proper way.
- Proper timetabling of course offerings in such a way that students can attend lectures and other academic activities without delay or absence. This is especially important for working students who are tied-up with their work schedule.
- Organizing proper and informative orientation sessions for newly enrolled students to brief them about the requirements of progressing and completing the program.
- Monitoring students' academic progression and taking proper actions before student's performance reaches the critical level of probation.
- Providing appropriate learning resources (library, laboratories, IT… etc.) to facilitate students' access to program and support service related information.
- Preparing proper contingency plan in case any faculty member is unable to attend his/her scheduled academic activities for any reason (illness, emergency, conference, business travel, etc.) to ensure that the proper execution of approved program curriculum is continued.

Reactive Measures Plan:

- Whatever preventive actions that may be taken, some students' performance may fall below the acceptable level, and such students may not be able to continue their study in the program.
- In these cases, some remedial actions are needed so that the student can recover from such situation and continue his/her program of study.
- For such students, preparation and monitoring of individualized action plans (e.g. proper selection of courses, taking a remedial course. etc.) would help student recover.
- Long term plans to build or acquire a hospital to be designated as a teaching hospital for the University in the event that in spite of best efforts, clinical training sites remain inadequate
- If a decision is made to close an educational program, the university will strive to assist affected students so that they experience a minimal amount of disruption in their studies.
- AU students will be notified of the decision to close a program as soon as possible and will be advised by faculty or student counselors regarding suitable options including transfer to comparable programs to complete their education.
- If required, arrangements will also be made to reassign faculty and staff affected by the closure of the program or assist them in locating other employments.

Teach-out

Statement

This policy addresses the University's responsibility to make necessary arrangements for students to complete their academic programs in cases where institutions are closed or programs discontinued.

Risk Mitigation Procedure

Following are the key steps that the University will take to meet its commitment towards those students who might be affected by discontinuation of an academic program or closure of the institution.

- Communicate with students the full details of the change taken by/ affected the University.
- Identify the potential accredited institutions offering similar program(s) to make the teach-out.
- Complete the necessary arrangements for students with selected institutions, ensuring that these arrangements are consistent with the requirements of the Commission's Substantive Change policy.
- Prepare a detailed action plan to ensure smooth transition of teach-out students between AU and the receiving institution. This shall include all arrangements needed to maintain complete academic records and issuance of degrees.
- Make necessary arrangements to meet the possible financial obligations, in terms of the possible higher tuition fee rates, or due to the loss of credits as a result of the compulsory change of academic program or major, until completing all their academic requirements.
- Develop a monitoring process to be implemented by the College Dean/ Academic Head, with regular monitoring reports submitted to the Vice Chancellor of Academic Affairs (VCAA). The monitoring reports would include:
  - Detailed list of names of students in teach-out.
  - Confirmation of affected students receiving letters and individualized academic plans
  - List of students advised into other majors, with identification of new majors (if required).
  - Progress of students in the teach-out phase.
  - Advise the teach-out students how the University will assist in completing their programs.

Internship and Clinical Training Risk Management

The purpose of this policy is to minimize the possibilities and consequences of the risks, hazards AU's students can be exposed to during their internship or clinical clerkship training in affiliated hospitals. AU aims at securing sustainable training places (including clinical training sites for medical students), for students and minimizing subsequent disruptions due to unavailability or loss of some of these locations.

Statement

This policy acts as an outline that identifies the different sources of risks that can occur during internship of AU's students, which should be properly managed in order to avoid and/or prevent any negative impacts of such situations. This is done through identifying each risk source, its significance, evaluation methods, and

adopting the best mitigation options. During the two years that constitute the clinical training phase of medical students, they might be exposed to risks related to working in a hospital environment. This policy is outlining the features and practices of internship at AU in order to reduce the associated risks.

Risk Identification

AU Students must be properly oriented as to their role and responsibility at the training site and the possible sources of risks involved. Students must be advised of all requirements associated with the placement, including the risks associated with the training site. This include proper orientation as to how students protect him/herself from the various types risks and hazards which include fire, electrical shocks, exposure to chemicals, infections and radiation. For intern students' protection, a memorandum of understanding (MOU) is signed between AU and companies accepting intern under their direct supervision and control to cover training objective, supervision, possibility of salary, stipend, transport, and liability; especially for acts that are willful, malicious, intentional or criminal.

Risk Mitigation Methodology

- Students are advised to acquaint themselves with training site and the possible safety hazards.
- Students are advised to wear protective coats and outfits whenever required by the site bylaws.
- Students are advised to seek advice whenever they are not sure about the safety of any system or device.
- Students should always be accompanied and supervised by the site supervisor.
- Students must be in continuous contact with their academic supervisor to tackle problems first hand without delay.
- If students are doing their training within the university premises, then they must be aware of the various risks and hazards as stated in the Building Facilities Risk management Policy.
- Alternative training sites must be arranged in case of shortage or unavailability of the current places.
- Continuous revision and updating of contacts in order to ensure the availability and suitability of internship sites.
- Health insurance cover for medical students as well as a clear policy in the relationship between the University and the affiliated hospital that they will provide the same degree of emergency care for an affected student as they would any of their own staff.

Availability of Sustainable Training Locations

It is the responsibility of the Office of Career and Placement Services to screen the available training sites and select the most suitable and safe training locations in view of the student's specialization, and in collaboration with the concerned colleges. The Career and Placement Services Office must establish contractual, sustainable and strategic relationships with these sites in order to secure the placement of students for internship.

Financial Risk Management

Statement

This policy serves as a comprehensive framework that identifies, evaluates, and mitigates the negative impact of different sources of financial risks, which may expose the University to potential losses of financial resources or fluctuation of financial performance. Therefore, a structured methodology is established and adopted by the University to regularly identify such risks, evaluate the negative financial impact of certain events, decide their significance and adopt the best risk mitigation options to deal with such risks.

Risk Identification

- Credit Risk

  Credit risk is the risk that one party to a financial instrument will fail to meet an obligation, causing the other party to incur a financial loss.

- Liquidity Risk

  Liquidity risk is the risk that the University will encounter difficulties in raising funds to meet its liabilities when they become due.

- Interest Rate Risk

  The University is exposed to interest rate risk on its interest bearing assets and liabilities; namely fixed deposit, medium-term loan and borrowings.

- Accounts Receivable Risk

  While the University balances between the interests of all stakeholders, certain special situations faced by some students can justify granting them credit facilities by postponing the payment of due balances or accepting settlements by post-dated cheques. The accounts and cheques receivable risk is identified by the overdue customer balances as well as the cheques receivable and the potential that such amounts are becoming uncollectible

- Business Risk

  Business Risk involves the risk of declining revenues due to decrease in number of students or prices, or the uncontrolled increases in expenditures during the normal course of business activities, which will ultimately affect the financial performance and the ability to meet certain requirements to ensure smooth running of operations.

Risk Evaluation and Mitigation Methodology

- Credit Risk

  Financial assets, which potentially subject the University to concentration of credit risk, consist principally of the current bank accounts and deposits/ saving accounts. The University mitigates its credit risk with regard to the bank deposits throughout:

  - Dealing with high credit quality financial institutions, in addition to conducting continuous review of the financial institution's credibility, considering the trade-off between the benefits obtained from dealing with certain financial institution and the credibility risk involved.

- Extra available funds are invested in short-term fixed deposits that do not exceed 1-year maturities and over several maturity dates carefully distributed across the year to ensure satisfying any urgent cash needs for operational requirements to avoid liquidating any of the deposits before the maturity date and thus losing the expected profit.
- The University's management is continuously evaluating its investment credit risk to ensure that the credit risk related to bank accounts lies within an acceptable range.

- Liquidity Risk

  To mitigate such risk, the management should ensure the availability of diversified funding sources along with continuous monitoring of liquidity sufficiency on regular basis.
  - Cash flows forecasting serves as a key indicator of future cash sufficiency, which helps providing an early alarm pertaining to any anticipated liquidity problems.
  - Cash safety margin must be maintained, that is equivalent to a minimum of 3 times total monthly operating expenses.
  - Availability of easily accessible sources of funding; either through equity or debt sources, should be maintained in order to raise necessary funds to meet any financial obligations and ensure smooth running of operations. Reliable and sustainable relationships with banks and other financial institutions should be maintained to facilitate providing the necessary funds within a short period.

- Interest Rate Risk

  To mitigate the risk of having lower rates on deposits or higher rates on term borrowing compared to the changes in interest rates prevailing in the market, the University's financial management should:
  - Keep diversified ranges of maturities of its deposits, which allows quick reaction according to changes in the market rates.
  - This method also reduces the exposure to the risk of losing the profitability of such fixed deposits due to potential early liquidation of the deposits to meet emerging spending requirements.
  - In addition, the University should conduct a continuous revaluation and analysis of the market rates to maximize interest revenues on deposits and minimize interest expenses on borrowings.

- Accounts Receivable Risk

  The accounts receivable risk is mainly involved with amounts due from students, sponsors, tenants and other customers. The University mitigates the accounts receivable risk throughout:
  - Continuous review of the aging of accounts receivable balances, identification of those old accounts with high probability not to be collected, setting strict internal controls and procedures, and seeking to reach to settlements with parties having accumulated old receivable balances.
  - Tracking the amounts of bounced cheques, their value dates, and taking needful actions towards collecting such accumulated balances.
  - In addition, the University should implement strict measures prior to accepting cheques as an option to settle due accounts receivable, throughout reducing their maturity periods to the minimum, and keeping an updated customer profiles to provide a readily available history of cheque collection, enabling to take informed credit facility decisions in the future.
  - The University should continuously find sustainable funding sources throughout different fundraising activities that aim to provide financial assistance to help students having financial disabilities to settle their due balances, thereby mitigating the negative financial impact of default accounts.

- Setting credit limits for customers, students and sponsors, and continuously monitoring the overdue balances as well as the outstanding receivables. The credit limits should be reviewed on regular basis to avoid accumulation of large balances of accounts receivables.
- System controls should be also put in place to easily identify accumulated balances and alert the finance team to take necessary action towards collection.
- The collection of Post-Dated Cheques (PDC's) is done as a guarantee against the collection of outstanding receivables. However, accepting such PDC's should be subject to approvals in view of the credit history, with maturity dates that should not exceed a period of 6 months.
- Sufficient allowances for doubtful debt are taken as a reserve to face any future losses due to uncollectible accounts, thus ensuring the stability of financial performance. The management must ensure that such allowances are sufficient and provide reasonable coverage of doubtful debt to avoid material loss or fluctuation of the financial performance.

- Business Risk

To avoid the potential negative impact on financial performance and the ability to meet certain requirements, and to ensure smooth running of operations, several approaches and techniques should be adopted by the University's management to mitigate the different types of business risks as follows:

- The University's management should follow a continuous improvement approach as a methodology to mitigate such risks, throughout continued efforts that aim at improving the quality of academic programs; studying the dynamic market needs for new knowledge areas, and introducing new academic programs that fulfill such needs and stimulates sustainable business growth.
- The planning and budgeting process also helps addressing the key business risks involved in different business activities, and the level of uncertainty that is inherent in the planning process. The annual budget preparation cycle illustrates how the University plans for the future and provides the optimal allocation of resources as needed to achieve AU's strategic goals and objectives.
- As part of the annual operating budget preparation cycle, and to account for the normal uncertainty with regards to emergency spending needs, a contingency fund should be created to provide necessary funding for any unplanned or emergency spending needs. The contingency fund should be estimated as a fixed percentage of the annual operating spending budget.
- An in-depth planning and financial feasibility of launching any new academic program or investing into other expansion projects must be conducted. By adopting such approach, the University will be able to expand its students' base and diversify the revenue generating activities while minimizing the business risks involved in such activities and being well-prepared for any potential financial surprises that may corrupt operational activities.
- To better manage the other risk factors inherent in operations, the University mitigates the negative impact of some potential events that rest outside the control of AU management, by enrolling into several insurance policies. These include:

  - **Fidelity Insurance Policy:**

    To indemnify AU against any loss sustained by any act of fraudulent embezzlement or misappropriation of any employee who's dealing with cash amounts.

  - **Public Liability Insurance Policy:**

    To indemnify AU against any loss due to the legal liability arising from running the business activities, where AU may become legally liable to pay for compensation in respect to accidental bodily injury to third parties or accidental loss or damage to third party's property.

- **Money Insurance Policy:**
  To indemnify AU against any loss of cash amounts and the cost of any related damage that is associated with any theft or attempted theft during the normal course of business activities.
- **Property All Risks Insurance Policy:**
  To indemnify AU against any loss caused by any incident or event that exposes AU's properties and its contents to losses or damages suffered as a result of the occurrence of common perils, such as fire, building destruction, or damage of any insured contents.
- **Public Liability Insurance – Internship Activities:**
  To indemnify AU against any legal liabilities towards any third party, including students, in respect of personal accidents and/or property damage arising out of internship activities of students in the medical fields, who are exposed to high risks of lab materials; pharmacy, dentistry and clinical training activities, either in-campus or outside.

Financial Risk Management Responsibilities

The following identifies the roles that assume specific risk management responsibilities.

Responsibility	Risk
Chief Accountant and Finance Manager	Credit Risk
Finance Manager	Liquidity Risk
Finance Manager and the Chief Operating Officer	Interest Rate Risk
Senior Accountant – Accounts Receivable, and Finance Manager	Accounts Receivable Risk
Finance Manager, Budget Supervisor, and Chief Operating Officer	Business Risk

Information Technology Risk Management

Statement

This policy serves as a comprehensive framework that identifies the different sources of technical risks that the University is exposed to. These risks should be properly managed in order to avoid their possible negative consequences such as data loss or major system failure. Measures are regularly conducted to identify each risk source, its significance, evaluation methods, and the adoption of optimal options to mitigate it. A major damage or failure in any of the following I.T. infrastructure or services may cause a serious disruption of operations and thus represent key risk components.

Risk Identification

Servers and Storage:

Hardware failure in a server may cause a failure in one of the core services; such as registration or finance applications.

Network Appliances:

Any failure or damage to some of the Network appliances may imply complete or partial outage of campus services.

LAN, WAN, and Internet Connections:

A disruption in any of these connections may cause outage in all web services, thus corrupting the smooth running of several academic and operating services.

Risk Component Analysis

Information Resources and the processes of using them represent vital part of the ongoing mission of the University and its goals and objectives. The following describes these risks in more detail.

Threats and Vulnerabilities:

Threats can be both, internal and external, and come in many different forms. The common element is they work against the confidentiality, integrity, and availability of information resources. Some of the possible threats would be the alteration of data or systems or release of protected information. Others can be hackers or viruses.

Vulnerabilities are weaknesses or holes in information resources and processes, which allow the potential for unauthorized or unintentional change or manipulation of resources, which affect the confidentiality, integrity, and availability of these resources. Vulnerabilities, and overall impact for every information resource, not only must be evaluated, but also re-evaluated on a regular basis to ensure these ongoing risk(s) are continuously managed.

Data Loss:

Data loss can occur on any device that stores data due to one of the following:

- Human error, accidental or unknowing data deletion, modification, overwrite.
- File corruption: software error, virus infection
- Hardware: drive failure, controller failure, cpu failure
- Site-related: theft, fire, force majeure such as floods, earthquake, lightning, etc.

Unplanned Service Outage:

Unplanned Service Outage may occur due to one of the following:

- Hardware failure such as damage in server or LAN/WAN equipment.
- Software problem may cause failure in I.T. service/s.

Risk Evaluation and Prioritization

The following describe how different risks are evaluated and prioritized.

Threats and Vulnerabilities:

Threats and vulnerabilities become risk when they cause exposure of confidential information such as student records, or exam questions.

Data Loss:

This risk is evaluated by reviewing the type and size of the lost data.

Unplanned Service Outage:

This risk is evaluated by the time, period, and consequences of the service outage.

Risk Mitigation Methodology

The following describe, in general terms, the risk mitigation options. The Office of I.T. provides the following solutions to mitigate the risks, as follows:

Threats and Vulnerabilities:

The Office of IT is reducing this type of risks by installing the antivirus software on all AU PC's, laptops and servers; keeping all such devices updated, and by using Firewall to isolate the servers in a healthy and protected environment.

Data Loss:

The Office of IT has set a backup policy to protect the critical data by recovering them in case of loss (see backup policy). A disaster recovery site is used to provide high availability of the critical data and services. Furthermore, the recovery tools are used, in case needed, for individual loss of data.

Unplanned Service Outage:

The Office of IT is committed to ensure continuous and uninterrupted availability of all services as follows:

- Uninterruptible Power Supply (UPSs) and Power Generator connectivity for the most critical LAN/WAN connections and servers, to avoid disruption due to power shortage.
- Hardware and Software Support agreement 24 X7 for the most critical equipment and services.
- The I.T. has transferred all the critical services to virtual environment, which reduces the time of service recovery, and increases the high availability.
- Backup devices and servers are provided.

Risk Plan Maintenance

The following describe the different methods for maintaining or updating the risk plan.

Threats and Vulnerabilities:

Following up on the Antivirus, updating servers and monitoring them.

Data Loss:

Applying the Backup Policy and confirm that he taken backups are healthy.

Unplanned Service Outage:

Monitoring all LAN and WAN equipment, UPS's and servers, ensuring that all equipment are functioning in a perfect manner, and maintaining all I.T. equipment and services under external support agreement to increase the level of high availability.

Risk Management Responsibilities

The following Identifies the IT roles with specific risk management responsibilities.

Responsibility	Risk
The System Administrator and System Engineer under the supervision of the Head of System/Network Team.	Threats and Vulnerabilities
The System Administrator and DB Administrator	Data Loss
The Network and System team, I.T. Manager	Unplanned Service Outage

Facilities Risk Management

Statement

This policy acts as an outline that identifies the different sources of risks that AU facilities and infrastructure are exposed to, that should be properly managed in order to avoid and/or mitigate any potential negative impact. This is done through identifying each risk source, its significance, evaluation methods and the adoption of best risk mitigation options. The purpose of this policy is to structured methodologies to help minimizing the possible negative consequences of future damage to AU facilities and infrastructure, and the subsequent disruption in University's operations and services.

Risk Identification

- **Technical Faults and Breakdowns:**
  Any partial or total shutdown that can have a direct impact on the University's operations and continuity of key services.
- **Fire:**
  In the event of a fire outbreak, it becomes crucial that the fire safety system and processes are instantly activated to contain the spread and thus minimize the impact and loss.
- **Utility Outages**
  Electricity and water shortages can significantly disrupt the functioning of the University's various colleges, offices and other common facilities.
- **Structural Incidents:**
  Any structural collapse or failure in any of the University's infrastructure will have disastrous consequences.
- **Emergencies:**
  Any emergency such as but not limited to natural disasters (earthquake, flooding, etc.) is beyond human control and can affect AU facilities and infrastructures critically.
- **Safety and Security:**
  Considering the number of students and visitors of AU campus and its extended buildings and facilities, undesired situations and incidences, disturbance and violence that can erupt in the University could jeopardize the safety and security of the occupants, facilities and infrastructure.

Risk Component Analysis

- **Technical Faults and Breakdowns:**
  AU facilities and infrastructure should remain in perfect functional state for efficient, reliable and normal operations at all times. This requires prompt and effective repair services and periodic preventive maintenance to be carried out to minimize or prevent facilities down time or closure.
- **Fire:**
  Fire is an unpredictable and inherent risk in University's environment, and carries a high damage potential. The existing facilities and infrastructure does possess the necessary fire safety mechanisms and processes.
- **Utility Outages:**
  Uninterrupted power and water supply for AU facilities is essential and of paramount importance for its functioning and operations. These basic utilities within the Emirate of Ajman are supplied by a federal government authority, and mostly seem to be stable, sustained and reliable.
- **Structural Incidents:**

A safe, stable and reliable building facilities and infrastructure, which meets the relevant and required standards is a primary requirement for any educational institution. The existing infrastructure appears to be in fair and stable condition. Maintenance and repairs are undertaken as and when required.

- **Emergencies:**
  It is imperative that a clear, effective and tested evacuation plan is compiled, and is circulated and posted for the facility's occupants in order to be well prepared for any such emergency incidents.
- **Safety and Security:**
  It is of utmost importance that AU facilities and infrastructure are safe and secured at all times for the protection and comfort of all its occupants; faculty, staff, students, and visitors. AU facilities do possess security systems and personnel for overseeing internal safety and security.

Risk Evaluation and Mitigation Methodology

- **Technical Faults and Breakdowns:**
  This risk potential is regularly evaluated by monitoring the frequency of reported faults and breakdowns; periodic assessments of AU's facilities and infrastructure; amount of resources and personnel needed for carrying out maintenance and repairs. The University mitigates this risk by conducting regular inspection of all AU facilities and infrastructures; scheduling and conducting preventive maintenance of key areas of AU's facilities and infrastructure; keeping inventory of vital spare parts and backup equipment to minimize facilities downtime; ensuring the availability of sufficient maintenance personnel for immediate action and resolution at the earliest; conducting regular training of maintenance personnel for prompt and effective responses to potential technical issues.
- **Fire:**
  Periodic review and assessment of the fire safety mechanisms, equipment and processes within AU's facilities and infrastructure; as well as the history of fire incidents represent key indicators of exposure to such risk. This is mitigated throughout the continuous evaluation and identification of potential fire hazards; inspection of the status and condition of the fire safety systems, mechanism, equipment and processes across all AU facilities and infrastructures, in addition to scheduling and conducting preventive maintenance of fire safety systems, mechanisms and equipment; compiling fire safety manual, evacuation plan and spreading awareness; conducting fire safety and evacuation drills; communication and information exchange with civil defense authorities, hospitals and other relevant authorities; putting in place loss/damage insurance policy.
- **Utility Outages:**
  Periodic assessments of utility infrastructure of AU's facilities; communication and information exchange with the utility provider; history of utility incidents within AU's facilities represent fundamental component to enable maintaining a proper plan to control such risks. This risk is mitigated throughout the continuous evaluation of the status and condition of the utility networks across AU facilities and infrastructure; communication and regular information exchange with the utility service providers for prioritized supply restoration to AU's facilities, scheduling and conducting preventive maintenance of key utility infrastructure of AU's facilities, and backup supply provision arrangements.
- **Structural Incidents:**
  The regular evaluation of the status and condition of the structural reliability of AU facilities and infrastructure is conducted to ensure the maximum safety of all AU's structures, in addition to scheduling and conducting preventive maintenance of key areas of COD clinical facility and infrastructure; communication and information exchange with civil defense department, hospitals and other relevant authorities; as well as the availability of loss/ damage insurance policy.
- **Emergencies:**
  To best meet the requirements of controlling such type of risks, AU maintains sustainable communication and information exchange channels with relevant emergency management authorities and government bodies, in addition to compiling Emergency Manual, evacuation plan and spreading

awareness; conducting safety and evacuation drills; and the availability of public liability loss/ damage insurance policy.

- **Safety and Security:**
  The risks associated with safety and security systems are regularly evaluated in view of the capacity of facilities, the status of building machinery and equipment, as well as the analysis of the volume and demographics of people visiting AU facilities; using and working in the AU facilities, to ensure the availability of all needed resources, tools, procedures and equipment, such as camera monitoring systems, sufficient security personnel, building evacuation plans, scheduled and implemented preventive maintenance of existing security systems and equipment; effective management and control of the occupants of AU's facilities, and information exchange with relevant security authorities.

Facilities Risk Management Responsibilities

Responsibility	Risk
Facilities and Services Manager	Technical Faults and Breakdowns
	Fire
	Utility Outages
	Structural Incidents
Facilities and Services Manager; and Top Management	Emergencies
Facilities and Services Manager, Head of Security Office, and Top Management.	Safety and Security

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Policy to identify different sources of financial risk	Financial Controller
V 1.1	10/03/2013	Amendment to policy to include other sources of risk such: IT services risk, Building facilities risk, and internship risk	Financial Controller
V 2.0	19/10/2017	New policy - Major changes and incorporation of Academic Risk and Teach-out Risk	Chief operating Officer

C. Educational Programs

جامعة عجمان
AJMAN UNIVERSITY

Curriculum Approval and Revision Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2022

Purpose

This policy describes the requirements of academic programs, their study plans and revision. It also describes how new programs are developed.

Statement

Publication of Program Details

- The Head of the academic department is the coordinator of the development of the curriculum of any new program to be offered in coming years.
- The Head of the academic department ensures that the curriculum complies with the requirements that are stated in the CAA standards: the total number of credit hours must at least be equivalent to the minimum required number of credit hours for Bachelor programs by the CAA.
- The minimum total number of credit hours of a Bachelor Program should not be less than 120.
- 30 credit hours of the program should be devoted to General Education courses,
- the number of credit hours of Major courses must be 30 credit hours or more,
- If the program contains a minor specialization, the number of credit hours of minor courses must be between 15 and 21 credit hours.
- The head of department ensures that each part (General Education, College, Major, and Minor requirements) must contain a sufficient number of elective courses to give flexibility to students.
- The head of department should ensure that the Goals of the program are consistent and in line with those of the College,
- The head of department should ensure that the needs of assessment, and Feasibility studies were conducted using valid approaches.
- The head of the department should identify the human and physical resources needed according to a plan once the program is offered.
- Once the program is approved by the College Council, the head of the department submit a request for the Curriculum and Study Plan Committee of the University for approval.
- Once the Approval of the Curriculum and Study Plan Committee is obtained, the Dean of College presents the new program to the Academic Council for approval.

- Once the curriculum of the new program is approved by the Academic Council, the Dean of the College launches the procedure for initial accreditation from the CAA.
- A program will be offered only when its initial accreditation by the CAA is granted.
- Each program should contain the following details:
    a. Name and version of the program, and the Department responsible for offering it.
    b. The campus where the program is offered.
    c. Minimum requirements for admission eligibility
    d. The English Proficiency Level required by the program for admission and/or graduation.
    e. Minimum and maximum number of students to be admitted in
    f. each intake
    g. The total number of credit hours that composes the program
    h. Name of Degree to be awarded in English and Arabic languages
    i. Graduation requirements as approved by the CAA.
    j. The definition of 1^{st}, 2^{nd}, 3^{rd}, 4^{th} and 5^{th}(when applicable) level of study in terms of the number of earned credit hours.
    k. The study load bands for regular, warned students, and students with conditional admission.
    l. The Study Plan that consists of the list of all courses that could be taken by students that will be enrolled in the program.
    m. For each course in the study plan, the following details should be provided:
        - Course ID, course name, number of credit hours, and number of contact hours of Lectures, Lab, and Tutorial sessions.
        - Category of the course:
            - General Education (compulsory/elective),
            - College requirement (compulsory/elective),
            - Major requirement (compulsory/elective),
            - Minor requirement (compulsory/elective),
            - Free study courses.
        - Prerequisite courses when applicable
        - Minimum earned number of credit hours required to register for the course.
        - The maximum earned number credit hours the student may complete before registration for the course becomes mandatory.
        - The minimum English Proficiency Level, which is required before registration in the course, is allowed.

➢ The program details are entered by the Registration Department, on the System upon receiving initial accreditation from the CAA.

➢ The fees of each course are entered on the System by the Finance Department.

Course Description

The course description of each course should contain the following details:

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

Compulsory courses

- Enrolled students in the program must complete all the listed compulsory courses before graduation.
- A course cannot be registered unless its pre-requisite course(s) was/are completed successfully.

Repetition of an already taken compulsory course

- A Student who wishes to improve a previous grade in a compulsory course should obtain the approval of the academic advisor.
- Upon approval, the course on the student's study plan becomes open for registration selection in the next available semester.
- The latest grade will be considered in the calculation of the Cumulative
- Grade Point Average on the student transcript.
- If the F grade is obtained in the second attempt, the student will have to re-take it again even if he/she passed it in the previous attempt.
- If the course is repeated in another University, the old grade will be discarded and a transfer grade will be given i.e.: The grade obtained in the other University will not be considered in the computation of the CGPA.
- The number of credit hours of a repeated course is considered only once even if the course was passed in both attempts.
- The grade obtained in the first attempt will remain to appear in the student's transcript without effect on the CGPA calculation starting from the semester of the 2nd attempt.

Selection of elective courses

Students can choose the required number of elective courses from the approved list of courses based on their study plan requirements.

Repetition of an already taken elective course

- Students wishing to improve a previous grade they achieved in an elective course should obtain the approval of their Advisor.
- Upon approval, the course on the student's study plan becomes open for registration selection in the next available semester.
- The latest grade will be considered in the calculation of the Cumulative Grade Point Average on the student transcript.
- If the F grade is obtained in the second attempt, the student will have to re-take it again even if he/she passed it in the previous attempt.
- If the course is repeated in another University, the old grade will be discarded and a transfer grade given i.e.: The grade obtained in the other University will not be considered in the computation of the CGPA.
- The number of credit hours of a repeated course is considered only once even if the course was passed in both attempts.
- A student may request to register in another elective course as a replacement of an already taken elective course to improve his/her grade. The first elective course remains to appear in the student transcript without affecting neither the number of earned credit hours nor the CGPA.

Revision of a program

- *Minor revision*: A revision is considered as a minor revision if the revision alter, neither the learning outcomes of the program nor the total number of credit hours of the program. The following are examples of minor changes:
    - changes to textbooks or other learning resources;
    - changes to prerequisites;
    - changes to course codes or titles, if the content of the course is accurately reflected;
    - addition of new elective courses; changes to assessment procedures.

The Dean of College may request approval from the Academic Council for the recommendation made by the College Council to:

- Introduce any of the changes above;
- change the delivery mode of a given course: addition of a tutorial session, or changing 1 credit hour of lecture by a 2 hours of Laboratory work and vice versa.
- review the course description of a given course based

- on the assessment of the program without altering the Matrix of objectives of the program.

➢ *Major revision:* A revision is regarded as a major if:

- change the legal status or form of control of the institution, including a change in ownership or merger with another institution;
- significantly alter the mission, goals or objectives of an institution (this would include the introduction of qualifications at a higher level);
- establish instruction in a significantly different format (such as an intensive term or weekend classes) or method of delivery (such as e-learning);
- close one of the institution's locations;
- 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);
- enter a contractual relationship with another organization to provide instructional services;
- change the language of instruction for any program;
- change program admissions requirements from those approved by the Commission during the accreditation process;
- make major reductions in program offerings;
- increase or decrease the length and completion requirements of a program;
- introduce non-credit courses or activities that affect the mission or alter faculty workload.

➢ *Implementation of approved changes*

- The registrar is responsible for the implementation of the changes on the study plan of the program on the Registration System.
- If a course is substituted by a new course, then all enrolled students in the program that did not pass the former course, they will take the new course.
- If the major revision is approved by the CAA, then the revised program will be applied to new intakes, and to all enrolled students whose study plan will not be affected seriously by the application of the revised version; (i.e.: the student will not have to earn an extra-large number of credit hours on the top of his/her remaining number of credit hours for graduation).

Development of new programs

Degree programs are designed with overall program objectives that are aligned with AU mission, vision, goals, strategic objectives, teaching mission and have explicit intended learning outcomes.
The design and approval of degree programs is done through a well-defined internal and external policies and procedures defined by AU and CAA. Degree programs learning outcomes are also aligned with the Qualification Framework Emirates (QF Emirates). The alignment with QF-Emirates ensures degree

program preparation graduates to be active citizens with skills that enable sustainable employment, lifelong learning and professional development.

AU involves its students and other stakeholders such as graduates, employers and prospective students during the development of new programs. Moreover, AU benefits from feedbacks and recommendations that are provided by external review teams as part of the initial accreditation phase of each of the programs.

Development Process:

AU follows a systemic process and procedure for offering new degree programs. The process starts with the preparation of a new program proposal by the department/College. The proposal must address the following issues in detail:

- Degree title
- Justification for offering the degree including its importance and contribution to the community, university, and job market.
- An analysis of the market demand and future career opportunities for the graduates of the proposed program.

The following is an outline of the development process:

a. A new program proposal form shall be completed by the Dean of the College and submitted to the Office of the Vice Chancellor for Academic Affairs (VCAA).

b. Vice Chancellor for Academic Affairs (VCAA) will send the proposal to the Curriculum and Study Plan Committee (CSPC) for Review.

c. The CSPC Chair will send the Committee recommendations to the VCAA office.

d. VCAA office will send CSPC recommendations to the Dean to be used for finalizing the proposal.

e. A final proposal is sent to the Council for Academic Affairs for review and approval.

f. The proposal is sent to AU Cabinet for approval.

g. After the Cabinet approval, the concerned college/department in collaboration with OIPE will develop an action plan to prepare and submit an application for initial accreditation in accordance with the CAA's Standards.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Policy to identify different sources of financial risk	Financial Controller
V 1.1	10/03/2013	Amendment to policy to include other sources of risk such: IT services risk, Building facilities risk, and internship risk	Financial Controller
V 2.0	19/10/2017	New policy - Major changes and incorporation of Academic Risk and Teach-out Risk	Chief Operating Officer

Undergraduate Admission Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Jul. 2019
		Next Review Date	Jul. 2022

Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs, and applies to Admissions Officers and the Registrar.

Definitions

- *University:* Ajman University.
- *Admissions Period:* The period of time during which applicants can submit their admission application to the Office of Admissions and Registration.
- *Application Level:* Admission application category, whether undergraduate, graduate or transfer.
- *Active Application*: An application that is not marked as "Cancelled", "Expired", "Enrolled", "Rejected", or "Declined".
- *Admissions Offer Letter:* A letter issued by the Office of Admissions and Registration and sent to the applicant notifying him/her that he/she has been admitted in one of the programs he/she has applied for.
- *Application Rejection Letter:* A letter issued by the Office of Admissions and Registration and sent to the applicant notifying them of the rejection of their admission application. Waiting List: A list in which the college temporarily places students until a seat for the selected program is available. Only students who opted for the waiting list on their application can be placed on the list.
- *Admission fee:* The fee collected to process the admission application.
- *Admission and Registration Fee:* The fee collected to process a student's application and registration throughout his/her study at the University.
- *Application ID:* A generated number, to be used as a password, to track the status of the submitted application before a decision is taken.
- *Seat Reservation Deposit:* This is collected for certain programs in order to confirm the student's acceptance of the offer letter. The deposit is debited from the student's account for future use as part of the tuition fees of the first semester of study.
- *Registrar:* The head of the Office of Admissions and Registration at the University.

Undergraduate Admissions Requirements for Holders of UAE Secondary School Certificate or Equivalent Qualifications

Holders of a Secondary School Certificate (SSC), Science Section, or Advance Stream are eligible for admission in any College of the university if they satisfy the minimum score requirement for the degree program.

General Stream

- Holders of a Secondary School Certificate (SSC), General Stream (MOE), are eligible for admission in all colleges eligible for literary section with a minimum score of 60%.
- General Stream (MOE) are eligible for admission for the following majors if they obtain Average (90%) with minimum score of (90%) in Math and Science in Grade 12, with studying physics as a foundation course in AU:
  - B. Sc. in Electrical Engineering
    - Instrumentation and Control
    - Electronics and Communication
    - Power and Renewable Energy
  - B. Sc. in Biomedical Engineering
  - B. Sc. in Computer Engineering
  - Bachelor of Science in Civil Engineering
  - Bachelor of Science in Mechanical Engineering
  - Bachelor of Science in Building Engineering and Construction Management

- General Stream (MOE) are eligible for admission for the following majors if they obtain average (80%) in Grade 12:
  - B. Sc. in Information Technology/ Networking and Security
  - B. Sc. in Information Technology/ Databases and Web Systems
  - Bachelor of Architecture

- General Stream (MOE) are eligible for admission for the following majors if they obtain Average (70%) for the following majors:
  - B. Sc. in Information Systems\ Project Management
  - B. Sc. in Information Systems\ E-Business Management

- Holders of the Secondary School Certificate, Literary Section, with a minimum score of 60 percent, are eligible for admission to all degree programs in the following colleges:
  - Business Administration
  - Law
  - Mass Communication

They are also eligible for admission to the following programs offered by other colleges:

- Bachelor of Education/Teacher Training Program in Arabic and Islamic Studies
- Bachelor of Education in Teaching English as a Foreign Language
- Bachelor of Arts in Sociology and Social Work
- Bachelor of Arts in Psychology
- Bachelor of Interior Design

Undergraduate Admissions Requirements for Holders of Foreign Secondary School Certificates other than British System Certificates

In general, holders of the National High-school Certificate of a foreign country are eligible for admission if:

a. The certificate is considered for admission in governmental universities of the country where it is obtained
b. The certificate is awarded after at least 12 years of schooling
c. The certificate includes at least six subjects covering the following four areas:
d. Mathematics
e. Sciences
f. Languages
g. Social Sciences/Humanities or Arts
h. SAT1 is required for all majors.(American Curriculum)

Holders of High-school certificates from countries having two-level high-school certificates, must submit the certificate of the higher level.

Examples of Acceptable Foreign Certificates:

a. Iranian: the Pre-University Certificate
b. Indian Board(s): Senior Secondary School Certificate
c. Pakistani Board(s): Higher Secondary School Certificate (Part II)
d. French Baccalaureate: completion of Part II
e. International Baccalaureate: completion of six subjects, with three at the higher level
f. American High-school Diploma.
g. West African Senior School Certificate

Undergraduate Admissions Requirements for Holders of British System Certificates: IGCSE, GCSE, GCE

Except for College of Medicine, a holder of a British system certificate is eligible for admission if:

a. Has completed 12 years of study by the time she/he has finished secondary education and must provide proof thereof.
b. The highest 7 grades obtained will be considered as follows:
c. A minimum grade of C in 5 O-Level subjects, and minimum grade of D in 2 AS-Level subjects or
d. A minimum grade of C in 6 O-Level subjects and a minimum grade of E in one A-Level subject.

e. The courses should cover at least four areas of study: Mathematics, Sciences, Social Studies, Fine Arts and Design, and Languages.
f. For an applicant to be considered as a graduate of the Science Track in secondary education she/he must have successfully studied at least 2 Science and one Mathematics subject at O-Level and AS-Level or A-Level.

Admissions Criteria

a. AU Academic Council determines the number of students to be admitted to each degree program each semester, according to the university's available resources.
b. The decision to admit a student is made on a competitive basis taking into
c. account the number of available seats as determined by the colleges and the applicant's final secondary school examination score.

Admission on Probation

Applicants holding a high-school score below the required minimum admission score, not less than 60%, of an academic program may be admitted on probation in a program. They must sign an undertaking stating that they are aware that they will be dismissed from the program at the end of the probation period (usually one semester) if they do not satisfy the condition(s) set by the College, such as obtaining a Grade C in certain course, or a CGPA greater than or equal to a certain value above or equal to 2, etc.

English Language Proficiency

Full admission to programs where the medium of instruction is English is given only to applicants with a score of at least 500 in the TOEFL (paper-based test), 61 in TOEFL (iBT), Computer Based Test (CBT) 173, EmSAT Achieve English 1100, Band 5 in IELTS (Academic), 41 in (Cambridge English: Advanced Test of English Language), IESOL B1 or 36 in (Pearson Test of English Academic). Except for Medicine (see Table 2)

Full admission to College of Mass Communication is given only to applicants with a score of at least 450 in the TOEFL (paper-based test), EmSAT Achieve English 950, Band 4.5 in IELTS (Academic),

English Proficiency scores are accepted only if they were obtained less than two years from the admission date. Institutional TOEFL score is considered only when the test is taken at an AMIDEAST UAE center.

Students who do not satisfy the above-mentioned minimum English proficiency requirement may begin their studies with conditional admission.

During their first semester, holders of TOEFL, with a score between 450 and 499 or equivalent in IELTS and EmSAT, will be required to enroll in the Intensive English Program (IEP) covered by the General Education Program, until they obtain at least 500 in the TOEFL, or its equivalent.

Admitted students with a score below 450 (TOEFL) or equivalent are required to enroll in an English preparation course (lower level) at the on-campus Continuing Education Centre. However, colleges will reserve a seat for them, for one semester only, if they obtain a score of at least 450 in TOEFL or its equivalent test score at the end of the first semester of registration.

Admission for Transfer Students

Students from accredited institutions of higher education may apply for admission in an AU program in the same field of study if they have been of good academic standing, i.e., their Cumulative Grade Point Average (CGPA) is a least 2.0 on a scale of 4.0, or the equivalent, and if (they have not been subjected to academically or disciplinary dismissal).

However, students who have not been of good academic standing (i.e. those with a CGPA of less than 2.0 on a scale of 4.0) will be allowed to transfer only to programs in a different field from the one in which they were enrolled at the institution they previously attended.

Any transferred student is required to meet the English Language Proficiency condition (see Section 4.2).

The transfer of credited courses is considered for students who are transferring to a similar program to the one studied previously if:

- their cumulative grade point average is at least 2.0 on a scale of 4.0, or the equivalent
- the number of credit hours for the course is not less than that of the AU equivalent course
- the grade obtained on the previous course must have been at least C (2.0 on a 4.0 scale) irrespective of the course status (Satisfactory, Good, etc…….) , or the grade that corresponds to “Merit/Good” for institutions using a different grading scale
- the course content at the institution previously attended should be similar to that of the corresponding course offered at AU

If the transfer of a student with a CGPA less than 2.0 is accepted in a program within a different field of study, the transfer of credited General Education courses may be considered if points 2-4 listed above are fulfilled.

Only grades obtained from courses taken at AU will be taken into account in the calculation of a student’s CGPA, i.e.: grades obtained from transferred courses at the previous institution will not be taken into account in the computation of the CGPA at AU.

It is important to note that AU does not grant transfer students a degree unless they successfully complete at least 50 percent of the credit hours of the program, including the majority of the final year courses at AU.

NB :

- A transcript indicating the courses studied at the previously attended one is required and should be certified by MOH
- The equivalency certificate is required if the degree has been obtained outside UAE.
- A fee AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded if the student is admitted.

Re-admission of Former Students

1. New students who have missed two consecutive semesters of enrollment (excluding the summer semester) at the university shall apply for re-admission by completing the re-enrollment form available on the online registration system (ORS).

A new university ID will be issued and the student should pay the non-refundable fee for the application.

2. Former students who have missed more than four semesters of enrollment at the university may apply for re-admission and A new university ID will be issued, provided that they achieve the following:
    - The required average in secondary school certificate.
    - A valid English Proficiency Certificate with the required score.
    - Availability of vacant seats in the major.
    - Approval of the College Dean and Registrar.
    - Repayment of all debts.
    - pay the non-refundable application fee

the Dean of the previous college and the Registrar accept the student to continue in the same major, the previous courses which the student has studied will be considered if they are included in the new study plan.

N.B.:-

1- If the student was warned, he/she must transfer to another program providing that his/her CGPA for the courses to be transferred is 2.0 or higher.

2- In special cases, if the student can graduate within the time allowed for completion of a degree program and study plan is still activated, re-enrollment of the student with the same ID and in the same program will be considered after the payment of the required fees of (300Dhs).

Documents Required for Admission

a. Application form, (can be obtained online,)
b. UAE Secondary School Certificate, or its equivalent, and grade transcript. Certified copies are acceptable
c. Equivalency certificate issued by the ministry of education UAE for the holders of non UAE high school certificate
d. Photocopy of valid passport and residency visa
e. Photocopy of a valid Emirates ID Card
f. Birth certificate.
g. Medical Checkup
h. Status of UAE National Service for male students.
i. Valid certificate of good conduct, issued by an official body
j. Six passport-size photos
k. A certificate of proficiency in English language,

Applications will be processed by the Office of Admissions and Registration only after the payment of application and registration fees.

Certification of Documents

Newly-admitted students are requested to have their documents certified before the end of the first semester of study; otherwise their registration will be suspended.

- Secondary school certificates obtained in the UAE must be certificated by the UAE Ministry of Education.
- Secondary certificates obtained abroad must be certificated by the Ministry of Education, and by either the Ministry of Foreign Affairs of the country of origin and the UAE embassy in that country.

Seat Reservation

a. Applications will be processed by the Office of Admissions and Registration only after payment of the non-refundable application and registration fees.

b. Students admitted to Medicine (MBBS Program), Dentistry, Pharmacy, programs are required to pay a seat reservation deposit.

c. This deposit is non-refundable and non-transferable and must be paid before the deadline stated on the letter of admission.

d. This deposit is deductible from the student's fee once the applicant joins Ajman University.

e. If the student asks to defer admission to the following semester and the request is approved, the deposit will be applied to the following semester.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Policy Reviewed by Academic and Educational Affairs Council	Associate Vice President for Academic Affairs
V 2.0	18/07/2019	Total policy review incorporating major changes to terms of admission	Registrar

Graduate Admission Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2022

Purpose

This document sets out the University's policy on admissions to accredited undergraduate degree programs, and applies to Admissions Officers and the Registrar.

Definitions

- University: Ajman University.
- Admissions Period: The period during which applicants can submit their admission application to the Office of Admissions and Registration.
- Application Level: Admission application category, whether undergraduate, graduate or transfer.
- Active Application: An application that is not marked as "Cancelled", "Expired", "Enrolled", "Rejected", or "Declined".
- Admissions Offer Letter: A letter issued by the Office of Admissions and Registration and sent to the applicant notifying him/her that he/she has been admitted in one of the programs he/she has applied for.
- Application Rejection Letter: A letter issued by the Office of Admissions and Registration and sent to the applicant notifying them of the rejection of their admission application.
- Waiting List: A list in which the college temporarily places students until a seat for the selected program is available. Only students who opted for the waiting list on their application can be placed on the list.
- Admission fee: The fee collected to process the admission application.
- Admission and Registration Fee: The fee collected to process a student's application and registration throughout his/her study at the University.
- Application ID: A generated number, to be used as a password, to track the status of the submitted application before a decision is taken.
- Seat Reservation Deposit: This is collected for certain programs in order to confirm the student's acceptance of the offer letter. The deposit is debited from the student's account for future use as part of the tuition fees of the first semester of study.
- Registrar: The head of the Office of Admissions and Registration at the University.

Admission Requirements for Master's Level Programs

In accordance with the University requirements for graduate programs, holders of a Bachelor degree may apply for full or conditional admission to a Master program if they fulfill the following minimum general requirements

Full admission:

To be eligible for Full admission, the applicant must satisfy the following:

i. The Applicants for Master's programs have holder of a Bachelor degree in the same field as that of the program applied for
ii. The Applicants for Doctorate programs have holder of a Master degree in the same field as that of the program applied for
iii. His/her Bachelor / Master degree was completed with a minimum cumulative GPA of 3 on a scale of 4.0, or its equivalent
iv. His/her Bachelor / Master degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE
v. He/she has attained at least 550 score in TOEFL or its equivalent (if the program is taught in English).
vi. He/she has attained at least 450 score in TOEFL or its equivalent for the Master of Law.
vii. He/she has attained at least 500 score in TOEFL or its equivalent for the Doctorate of Philosophy in Law.
viii. Pass the interview for DBA applicants, Master of Science in Pediatric Dentistry, Master of Science in Endodontics.

Conditional admission requirements for Master programs

Subject to availability of seats, a conditional admission may be offered if the applicant fulfils the above listed general conditions of full admission but his/her GPA is between 2.0 and 2.99 or his/her TOEFL score is between 530 and 550 or its equivalent (if the program is taught in English).

a) Conditional admission due to non-fulfillment of GPA requirement

An applicant may be offered a conditional admission due to non-fulfillment of GPA condition, if he/she satisfies the following:

i. He/she is holder of a Bachelor degree in the same field as that of the program applied for
ii. His/her Bachelor degree was completed with a minimum cumulative GPA between 2.5 and 2.99 on a scale of 4.0, or its equivalent
iii. He/she is a mature student with at least five years' experience and his/her CGPA is between 2.0 and 2.49 (or equivalent). Only 10% of total seats can be allocated for such students.
iv. His/her Bachelor degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE

v. He/she has attained at least 550 score in TOEFL or its equivalent (if the program is taught in English).

Important::

Admitted students, under this category, will be allowed to continue in the Master program only if they meet the following requirements during the period of conditional admission or be subject to dismissal:

a. may take a maximum of nine credit hours in the first semester of study;

b. must achieve an overall grade point average of 3.00 on a 4.0 scale, in the first nine credit hours of credit-bearing courses studied for the Master's program.

b) Conditional admission due to non-fulfillment of English Proficiency requirement

An applicant may be offered a conditional admission due to non-fulfillment of English Proficiency requirement , if he/she satisfies the following:

i. He/she is holder of a Bachelor degree in the same field as that of the program applied for
ii. His/her Bachelor degree was completed with a minimum cumulative GPA of 3 on a scale of 4.0, or its equivalent
iii. His/her Bachelor degree was issued from an accredited university by the Ministry of Education - Higher Education Affairs, UAE
iv. He/she has attained a score between 530 and 550 in TOEFL or its equivalent (if the program is taught in English).

Important:

Admitted students, under this category, will be requested to register in the Advanced level of the IEP program, and 6 credit hours during their first semester of studies. They must meet the following requirements during the period of conditional admission or be subject to dismissal:

a. must achieve a TOEFL score of 550, or equivalent, by the end of the student's first semester of study;

c. must achieve an overall grade point average of 3.00 on a 4.0 scale, in the first six credit hours of credit-bearing courses studied for the Master's program.

Important:

1. The number of seats for this category is limited to 25% of the number of students who are admitted to the program
2. The selection of the candidates will be based on the GPA obtained in the Bachelor degree

Exemption from English Language Proficiency for Graduate Programs

Applicants for an AU graduate program may be exempted from the English Proficiency requirement if :

Case 1.

1. The medium of instruction is English for the Bachelor degree of the applicant ,
2. The applicant was admitted to the Bachelor program after having obtained at least 500 score in TOEFL or its equivalent,

Case 2.

1. If English is the native Language of the applicant,

2. The applicant had completed his/her Bachelor degree in his/her home country or in a country where English is the native Language.

Admission to Master Bridge (Foundation) Program

A program intended to —bridge the gap between a student's prior work and the background required for the program he/she is entering. Typically such a program would be needed by students entering graduate business education where the student's undergraduate major was in an area other than business. The courses in a bridge program typically do not carry degree credit.

The program coordinator may consider admission applications to the foundation program from students who satisfy the admission conditions of the program but they are holders of a Bachelor degree in another area of specialization.

If the application is accepted, the student will have to:

- pass all the undergraduate courses (up to 15 credit hours), specified by the program coordinator
- obtain at least 550 score in TOEFL or its equivalent

***Important*:**
Applicants to the Foundation program must be holder of 500 score in TOEFL before registering their foundation courses.

Conditional Admission Requirements for Master's Level Programs

a. A student with a recognized baccalaureate degree and a TOEFL score of 530 (197 CBT, 71 iBT) or its equivalent on another standardized test approved by the Commission may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the period of conditional admission or be subject to dismissal:
   - must achieve a TOEFL score of 550, or equivalent, by the end of the student's first semester of study;
   - may take a maximum of six credit hours in the first semester of study, not including intensive English courses;
   - must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the Master's program.

b. A student with a recognized bachelor degree with a cumulative grade point average between 2.5 and 2.99 on a 4.0 scale, or its established equivalent, and who meets the English language competency requirements for general admission stated in Part I above, may be admitted conditionally to a Master's program. Such a student must meet the following requirements during the period of conditional admission or be subject to dismissal:
   - may take a maximum of nine credit hours in the first semester of study;

- must achieve an overall grade point average of 3.00 on a 4.0 scale, or its established equivalent, in the first nine credit hours of credit-bearing courses studied for the Master's program.

c. A student who does not meet the above stated GPA requirement (2.5 or more) but has at least 5 years of relevant documented work experience after his graduation can apply for the program. The number of students admitted under this category must not exceed 10 % of the total number of students of the Master program. A minimum of 550 on paper based TOEFL or 6 on IELTS (or its equivalence) is required. Institutional TOEFL score is considered only if the test is taken at AU.

d. Holders of a Bachelor degree, with a CGPA 3.0 or more out of 4.0, in another field may apply to the Pre-Master foundation program, which is composed of a set of 3 to 5 undergraduate courses at AU, depending on the curriculum of their Bachelor degree. They will be admitted in the Master program if they obtain at least a CGPA of 3.0 in the pre-tailored foundation program. Enrolment in the Pre-Master foundation program requires at least 500 TOEFL score or its equivalent.

Admission Requirements for Professional Graduate Diploma Program in Teaching

An applicant is eligible for the admission into the Professional Graduate Diploma in Teaching if :

a. He/she is holder of a four year Bachelor degree other than in education discipline.

b. His/her Bachelor degree was issued from an accredited university recognized by the Ministry of Education - Higher Education Affairs, UAE.

c. equivalency certificate issued by the ministry of education UAE for the holders of non UAE Bachelor degree

d. His/her Bachelor degree was completed with a minimum cumulative GPA of 2.5 on a scale of 4.0, or its equivalent

e. Evidence of relevant work experience if cumulative GPA is less than 2.5 on a scale of 4.0, or its equivalent.

Re-admission of Former Students

Students who have missed more than two consecutive semesters of enrollment (excluding the summer semester) at the university may apply online for re-admission and a new university ID will be issued.

To be eligible for re-admission, the applicant must meet the following conditions:

a. The applicant was not subject to behavioral dismissal from AU

b. The applicant was not academically warned

c. The applicant must satisfy admission requirements in effect at the time of re-admission

d. If the applicant transferred from AU to another accredited institution, he/she must apply as a transfer student.

e. No student will be re-admitted until all fees, charges and dues owed to the university have been paid. A non-refundable re-admission fee is charged.

Documents Required for Admission to a Graduate program

An application is considered complete if the applicant submits to the Office of Admissions and Registration the following documents:

- Copy of Bachelor Degree Duly certified (Applicants for Master's programs)
- Copy of Bachelor and Master Degree Duly certified (Applicants for Doctorate programs)
- Copy of transcript duly certified
- UAE Ministry of Higher Education's equivalent certificate of Bachelor's degree issued by foreign higher education institutions (for Master's students)
- UAE Ministry of Higher Education's equivalent certificate of Master's degree issued by foreign higher education institutions (for PhD students)
- Two recommendation letters
- Certificate of proficiency in English :
  - TOEFL score of 450 or equivalent for the Masters of Law
  - TOEFL score of 500 or equivalent for the PhD in Law
  - TOEFL score of 550 or equivalent for the Master's programs taught in English and Doctorate of Business Administration
- Recent CV
- Evidence of relevant work experience.
- Photocopy of valid passport
- A copy of UAE ID card for UAE residents
- Six recent passport-size photographs
- Medical checkup

Notes :

1. AU does not take into consideration Institutional TOEFL scores obtained in another institution
2. Applications for admission are processed only after payment of the non-refundable Application and Registration Fee for Graduate programs which is AED 2000. This fee is reduced to AED 1300 for applicants to Professional Graduate Diploma in Teaching.

- A fee AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded if the student is admitted.

Certification of Documents

Newly-admitted students are requested to have their documents certified before the end of the first semester of study, otherwise their registration will be cancelled.

a. Bachelor degree Certificate and Grade Transcript obtained in the UAE must be certificated by the UAE Ministry of Education - Higher Education Affairs, UAE.

b. Bachelor degrees and Grade Transcript obtained abroad must be certificated by: the Ministry of Higher Education, and the Ministry of Foreign Affairs of the country of origin, and the UAE embassy in that country.

Admission Validity

Admission to a Graduate program is valid only for the semester which is indicated in the admission letter offer. If an admitted student does not join the program during that semester, the admission offer will be cancelled with no refund of the application fee. However, an admitted student, who did not join his/her program, could re-apply for admission to the same program or another program, subject to payment of the re-admission fee.

Admissions and Registration Fees

a. Applications will be processed by the Office of Admissions and Registration only after payment of the non-refundable application and registration fees.
b. Students admitted are required to pay a seat reservation deposit. The deposit should be paid before the end of the deadline mentioned in the offer letter.
c. Failure to pay the deposit will result in the withdrawal of the admission offer.
d. This deposit is deductible from the student's fee for the semester for which admission was given.
e. The finance department sets the admission and seat reservation fee.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Revised – minor changes	Associate VP for Academic Affairs
V 2.0	8/09/2019	Major changes to terms of admission to graduate programs	Registrar

Transfer Admission Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2022

Purpose

This document sets out the University's policy on transfer admissions of enrolled students in an accredited undergraduate or graduate degree programs at another institutions.

Definitions

- University: Ajman University.
- Admissions Period: The period during which applicants can submit their admission application to the Office of Admissions and Registration.
- Application Level: Admission application category, whether undergraduate, graduate or transfer.
- Active Application: An application that is not marked as "Cancelled", "Expired", "Enrolled", "Rejected", or "Declined".
- Admissions Offer Letter: A letter issued by the Office of Admissions and Registration and sent to the applicant notifying him/her that he/she has been admitted in one of the programs he/she has applied for.
- Application Rejection Letter: A letter issued by the Office of Admissions and Registration and sent to the applicant notifying them of the rejection of their admission application.
- Waiting List: A list in which the college temporarily places students until a seat for the selected program is available. Only students who opted for the waiting list on their application can be placed on the list.
- Admission fee: The fee collected to process the admission application.
- Admission and Registration Fee: The fee collected to process a student's application and registration throughout his/her study at the University.
- Application ID: A generated number, to be used as a password, to track the status of the submitted application before a decision is taken.
- Seat Reservation Deposit: This is collected for certain programs in order to confirm the student's acceptance of the offer letter. The deposit is debited from the student's account for future use as part of the tuition fees of the first semester of study.
- Registrar: The head of the Office of Admissions and Registration at the University.

Transfer admission of undergraduate students in good academic standing

A Student from accredited institutions of higher education may apply for admission in an AU program in the same field of study if:

a. The former institution is recognized by the Ministry of Education - Higher Education affairs, UAE
b. The student has been in good academic standing i.e.: the Cumulative Grade Point Average (CGPA) is a least 2.0 on a scale of 4.0, or the equivalent,
c. The student has not been the subject of disciplinary dismissal.
d. The student is holder of a High School Certificate which is eligible for admission to AU undergraduate programs.

Transfer admission of undergraduate students who were not in good academic standing

A student, who was not in good academic standing in a accredited institutions of higher education, may apply for admission in an AU program in a different field of study if:

a. The student has not been the subject of disciplinary dismissal.
b. The student is holder of a High School Certificate which is eligible for admission to AU undergraduate programs
c. The student satisfies the minimum academic requirements for admission to the program applied for.

English Language Proficiency requirements

a. Full admission to programs where the medium of instruction is English is given only to applicants with a score of at least 500 in the TOEFL (paper-based test), 61 in TOEFL (iBT), Computer Based Test (CBT) 173, EmSAT Achieve English 1100, Band 5 in IELTS (Academic), 41 in (Cambridge English: Advanced Test of English Language), IESOL B1 or 36 in (Pearson Test of English Academic). Except for Medicine (1550)
b. If the student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be requested to re-take TOEFL test at AU.
c. English Proficiency scores are accepted only if they were obtained less than two years from the admission date. Institutional TOEFL score is considered only when the test is taken at an AMIDEAST UAE center.
d. Students who do not satisfy the above-mentioned minimum English proficiency requirement may begin their studies with conditional admission.

Requirements for Transfer of undergraduate courses

Students from accredited institutions of higher education may apply for admission in an AU program in the same field of study if they have been of good academic standing, i.e., their Cumulative Grade Point Average

(CGPA) is a least 2.0 on a scale of 4.0, or the equivalent, and if (they have not been subjected to academically or disciplinary dismissal).

However, students who have not been of good academic standing (i.e. those with a CGPA of less than 2.0 on a scale of 4.0) will be allowed to transfer only to programs in a different field from the one in which they were enrolled at the institution they previously attended.

Any transferred student is required to meet the English Language Proficiency conditions outlined in the undergraduate catalog (see Section 4.4).

The transfer of credited courses is considered for students who are transferring to a similar program to the one studied previously if:

- their cumulative grade point average is at least 2.0 on a scale of 4.0, or the equivalent
- the number of credit hours for the course is not less than that of the AU equivalent course
- the grade obtained on the previous course must have been at least C (2.0 on a 4.0 scale) irrespective of the course status (Satisfactory, Good, etc…….) , or the grade that corresponds to "Merit/Good" for institutions using a different grading scale
- the course content at the institution previously attended should be similar to that of the corresponding course offered at AU

If the transfer of a student with a CGPA less than 2.0 is accepted in a program within a different field of study, the transfer of credited General Education courses may be considered if points 2-4 listed above are fulfilled.

Only grades obtained from courses taken at AU will be taken into account in the calculation of a student's CGPA, i.e.: grades obtained from transferred courses at the previous institution will not be taken into account in the computation of the CGPA at AU.

It is important to note that AU does not grant transfer students a degree unless they successfully complete at least 50 percent of the credit hours of the program, including the majority of the final year courses at AU.

NB :

- A transcript indicating the courses studied at the previously attended one is required and should be certified by MOH
- The equivalency certificate is required if the degree has been obtained outside UAE.
  a. A fee AED 500 will be charged for the evaluation of courses to be transferred. The fee will be refunded if the student is admitted.

Transfer of Graduate Students from Accredited Institutions

a. Eligibility for Transfer to AU

A Graduate student from an institution of higher education may apply for admission to an AU Graduate program in the same field of study if:

- He/she satisfies the conditions of AU general full admission or he/she had satisfied requirements of conditional admission which are similar to AU conditions.
- He/she had been in good academic standing, i.e.: his/her Cumulative Grade Point Average (CGPA) is a least 3.0, on a scale of 4.0 or its equivalent,
- He/she had not been subject of an academic or disciplinary dismissal.
- He/she was enrolled in a graduate program which is recognized /accredited by the Ministry of Education – Higher Education Affairs, UAE.

b. Conditions for Transfer of credit hours earned outside AU

The transfer of credited courses is considered for graduate students who are transferring to a similar program to one studied previously if:

- their cumulative grade point average was Good academic standing of at least 3.0 on a scale of 4.0, or the equivalent,
- the course is not a course of the Pre- Master foundation Program,
- the number of credit hours for the graduate course is not less than that of the AU equivalent graduate course,
- the grade obtained on the previous course must have been at least B (3.0 on 4.0 scale), irrespective of the course status (Good, Very Good, etc…), or the grade that corresponds to "Merit/ very Good" for institutions using a different grading scale,
- for Doctorate of Philosophy in Law, course transfer can only be within two years after passing the course,
- the course content at the institution previously attended should be similar to that of the corresponding course offered at AU.

Important:

i. Only grades obtained from courses taken at AU will be taken into account in the calculation of a student's CGPA, i.e., grades obtained from transferred courses at the institution will not be taken into account in the computation of the CGPA.

ii. AU does not grant transfer students a graduate degree unless they successfully complete at least 75 percent of the credit hours of the graduate program at AU.

   a. Transfer credit hours will be reported on AU Transcript only when the Office of Admissions and Registration receives the authenticity certificate of the transcript from the former institution of the student.

English Proficiency requirement for graduate programs

a. Any transferred graduate student is required to prove that he/she passed TOEFL test with at least 550 score or its equivalent in its previous graduate program.

b. If the student was admitted at his/her previous university based on the Institutional TOEFL, he/she will be requested to re-take TOEFL test at AU.

Course transfer in Graduate programs

a. The transfer of credited courses may be considered if:
   - The cumulative grade point average was at least 3.0 on a scale of 4.0, or the equivalent
   - the number of credit hours for the course is not less than that of the AU equivalent course
   - the grade obtained on the previous course must have been at least B (or the grade that corresponds to "Merit/ very Good" for institutions using a different grading scale)
   - the course content at the institution previously attended should be similar to that of the corresponding course offered at AU

b. Only grades obtained from courses taken at AU will be taken into account in the calculation of a student's CGPA, i.e., grades obtained from transferred courses at the previous institution will not be taken into account in the computation of the CGPA.

c. AU shall not accept transfer of capstone courses or projects.

d. The number of credit hours that could be transferred should not exceed 25% of the total number of credit hours of the program.

e. The transferred courses should not constitute the majority of courses (excluding the thesis/dissertation) of the 2nd year of the program

Documents Required for Course Transfer

- A Certified copy of the Transcript
- A certified copy of the detailed course description of the course that includes the learning outcomes of the course

The transferred credit hours will be shown on the Transcript only if verification certificate of the former transcript is received from all previous institutions. Also, credit will not be given twice for substantially the same course taken at two different institutions.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Policy Reviewed – minor changes	Associate VP for Academic Affairs
V 1.2	11/11/2018	Minor change to transfer in graduate programs - acceptance of capstone courses or projects.	Vice Chancellor for Academic Affairs
V 2.0	8/09/2019	Major changes to terms of transfer to undergraduate and graduate programs	Vice Chancellor for Academic Affairs

Advance Standing and Prior Learning Assessment and Recognition (PLAR) Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Jan. 2019
		Next Review Date	Jul. 2022

Advance Standing

AU recognizes advanced standing with the condition that at least 50% of the credit hours of the undergraduate programs, including the majority of the final year courses, are completed at AU. For graduate programs, at least 75% of the credit hours should be completed at AU.

Recognition of Prior Learning

The objective of Prior Learning Assessment and Recognition (PLAR) is to assess the education and learning experience of newly enrolled students at the time of their joining Ajman University (AU) and determine if they may receive exemptions from courses on the basis of certified earlier learning. It is an educational initiative that provides newly enrolled students an opportunity to identify, demonstrate, and gain recognition for their earlier learning. It allows them to obtain credit for university-level knowledge and skills gained outside the classroom and/or through other educational programs. PLAR uses valid, rigorous assessment methods consistent with AU policies and procedures to ensure that learning worthy of credit has taken place. Some of the advantages of PLAR are that it:

a. validates appropriate learning gained through work and life experiences,
b. identifies areas of competence and areas requiring further study,
c. reduces time and expense to acquire a degree,
d. allows for more appropriate learner placement in programs,
e. increases accessibility to a broad range of learners,
f. provides an important service for the community,

Policy

1. Ajman University shall recognize certified earlier learning of applicants which may lead to exemption from some University courses. This includes credit transfer of courses taken in an accredited program (formal learning), informal learning, and non-formal learning.
2. For appropriate recognition, the learning should be current, relevant to the course and of sufficient breadth and depth to ensure university level learning.
3. For obtaining credit for prior learning experience, applicant's knowledge, skills, and competencies shall be weighed against course descriptions and their learning outcomes.

4. A maximum of 30 credit hours can be gained through PLAR. However, in all cases, credits granted through Recognition of Prior Learning (RPL) must not exceed 50% of the total completion requirements including credit transfer of formal learning.
5. For every course that has been successfully recognized against prior learning experience, a grade of 'S' (Standing) shall appear on the transcript. For all such courses, the course classification will be coded as 'PLAR'.
6. PLAR courses shall not be used in determining the cumulative GPA.
7. Unsuccessful applicants have the right of appeal to the College Dean who may submit it for review to the Appeal Committee whose decision shall be final.

Procedure

1. An applicant shall complete a PLAR application form providing complete details of his/her prior learning experience and suggest courses for which credit may be granted to the applicant. The complete application form, along with all supporting documents and evidence as well as receipt of PLAR processing fee, shall be submitted to the Office of Admissions and Registration.
2. In filling the PLAR application, the applicant can get assistance from his/her academic advisor.
3. The registrar shall forward the application form along with supportive documents to the College Dean who shall provide it the Head of Department (HOD) for evaluation and recognition.
4. The HOD shall form an ad-hoc committee in the department to study the case.
5. Evidences may include authenticated certificates of informal learning, portfolio, projects, but in all cases the student has to take and pass a challenge exam for each course he/she is requesting a waiver for.
6. The Committee can ask the applicant to submit other documents or evidence, as required.
7. When the applicant has been assessed, the Committee shall complete an Assessment Evaluation form and submit it to the HOD. This form will list all the courses for which credit has been granted. It shall also list separately the courses for which the applicant requested the credit but no credit was granted by the Committee.
8. The HOD, after approving the recommendations of the Committee, will provide the Assessment Evaluation form to the Dean. The HOD can ask the Committee to explain its recommendations and reasons behind its decisions. He/she can also ask the Committee to reconsider its recommendations and provide justification for their final decision.
9. The Dean will submit the Assessment Evaluation form to the Office of Admissions and Registration. The student will be informed accordingly by the Office of Admissions and Registration.

If an applicant is not satisfied with the decision of the ad-hoc committee and the HOD, he/she can file an appeal with the College Dean. The Appeal may be considered by an Appeal Committee whose decision is final.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/12/2017	Initial draft – new policy	Executive Director - OIPE
V 1.1	08/01/2019	Final approved policy as per CAA standard	Vice Chancellor for Academic Affairs

Internship Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	May. 2017
		Next Review Date	Jul. 2020

Introduction

Internship is a supervised, practical training periods for which AU interns earn academic credits. Internships provide excellent opportunities for interns to put into practice much of the knowledge and skills acquired during their studies.
It is also an opportunity for employers to observe the intern in the work environment and evaluate their management potential for possible future employment.

Ajman University requires that AU interns complete an average of 120-360 hour internship as part of their study program according to the academic program. The organization selected for the internship can range from large destination organizations to medium and small sized enterprises.

Definitions

- **Career and Placement Services Office (CPSO):** is responsible for coordination among the interns, internship program coordinator and training sites.
- **Intern:** is a senior level undergraduate intern who is eligible to enroll in internship program.
- **Internship**: is a supervised work experience in an approved site for a minimum of 6 consecutive weeks, and up to 16 consecutive weeks, depending on internship program requirements.
- **Internship Program Coordinator:** is a faculty member assigned to manage the internship program and provide guidance and support to participating training sites and interns. The internship program coordinator may serve as an Internship Supervisor.
- **Internship supervisor** or **(Academic supervisor)**: is a faculty member assigned to oversee one or more interns enrolled in the internship program. The internship supervisor will have routine contact with the intern and field supervisor; receive, review and grade intern reports and evaluations; and is responsible for assigning the final grade for the course.
- **Field Supervisor:** A staff member assigned by the employer (Internship site) to provide orientation, guidance, and assessment of interns during their internship program.

Internship Objectives and benefits

Interns will benefit through:

a. Acquiring experience in a real-life work environment.
b. Having the chance to put theory into practice, demonstrating significant understanding of own

learning strategies to cope with the requirements of the work environment.

c. Increasing the level of maturity and grasp business culture.
d. Developing vocational and personal skills.
e. Enhancing career opportunities and establishing useful contacts in the industry.
f. Developing, reflecting and evaluating on the strategies to achieve own career goals.
g. Having the opportunity to travel, earn a salary and enjoy an independent and different way of life.

Companies and organizations benefit through:

a. Establishing academic partnerships.
b. The input of fresh, innovative ideas through talented interns.
c. Gaining additional work force during critical times.
d. Developing a pool of talent from which to recruit once interns graduate.
e. The opportunity to give feedback to the university about knowledge and skills.

Internship Outcomes

a. Correlate intern's theoretical knowledge with professional practice.
b. Acquire additional technical knowledge concerning the field of intern's training.
c. Improve intern's communication skills, both oral and in writing.
d. Show initiative and develop self-confidence in handling the assigned tasks in real-life.
e. Learn the significance of teamwork and act as a responsible member of the team you are working with.
f. Develop intern's personality by learning about self-control, punctuality, professional responsibility, time management, etc.
g. Demonstrate at the training site that engineering interns from AU are serious learners with positive attitude and they are capable of making contribution to the ongoing jobs at the training sites.

Roles and Duties

Career and Placement Services Office (CPSO)

a. Sending internship registration to AU students.
b. Receiving Internship Registration forms.
c. Screening Companies/potential internship sites for their suitability for external training of AU interns in coordination with the concerned internship coordinator.
d. Signing agreements with external bodies. The agreement must cover the following:
   - Company\internship site will offer an internship program to the intern that meets the internship objectives.
   - Sending Internship Request letters to employers.

- CPSO will provide the internship site with names of the internship supervisors, and the assessment methods of the internship.

e. Conducting assessment surveys to measure the quality of the internship program. Assessment surveys are distributed to the training sites, training interns and internship supervisors.

f. Publishing the internship manual

Internship Coordinator

a. The Internship Coordinator is responsible for the appropriateness of the training sites.

b. The Internship Coordinator is responsible for the quality of the supervision, schedule of oral presentations and appropriateness of the placement sites as far as the learning outcomes are concerned.

c. Dividing the interns into groups of up to 10 interns taking into account the location of the companies at which the interns will do their internship.

d. The Internship Coordinator assigns an internship supervisor to each group of interns.

Internship Supervisor

a. Ensuring the safety of the internship sites by visiting the site and meeting the field supervisor prior to the internship program.

b. Giving an orientation session to the interns before the start of the internship.

c. Receiving the weekly signed interns reports and comments by the Field Supervisor;

d. Arranging meetings with the interns on a regular basis, for guidance to improve interns' performance, and to discuss difficulties encountered by interns.

e. Raising difficulties encountered by interns to the Internship Coordinator and the Manager of Office of Career and Placement Services.

f. Ensuring that field supervisors commit to enabling students to meet their learning outcomes.

g. Guiding interns on how to write the final report, and the content of their oral presentation.

h. Ensuring that field supervisor are aware of his/her responsibilities.

i. Ensuring that each intern submits his/her final report on time.

j. Ensuring that each of his/her interns are informed on the schedule of the oral presentation to be defended in front of a Jury.

k. Assessing the internship program for each intern.

Field Supervisor

a. Ensuring that internship process meets the internship objectives and outcomes.

b. Approving the weekly report filled by the intern in accordance with tasks specified in the internship plan.

c. Submitting an assessment report for each intern at the end of the internship program.

d. Assessing the internship program for each intern.

Performance

1.6.1 Intern's report shall consists of:

a. Information about the training institution.
b. Work carried out during the internship period.
c. The relation between the work done during the internship and the intern's specialization (the relation between theory and practice).
d. The strengths and weaknesses of the work carried out during the internship from the intern's point of view.
e. The extent to which this work can be useful to the intern after graduation.

1.6.2 Field supervisor's report shall include:

a. The extent of the regularity of the intern's attendance during the training.
b. The extent of the intern's awareness of the quality of the training the training facilities used.
c. The intern's observation of the guidelines of the training institution
d. The skills obtained through the program.
e. The actual number of training hours and days.

1.6.3 Internship supervisor's report shall include:

a. The extent of the intern's commitment to the training and observation of the training program.
b. The skills obtained through the training.
c. The extent of making use of the topics of training.
d. The correlation between the training the academic study.
e. The strengths and weaknesses of the training program.
f. Suggestions for improving the training program.
g. The intern's final report.

Grading of the intern

a. The process of the training evaluation depends on the following:
   - Attendance; at least 4 hours per day from Sunday to Thursday.
   - The relation between the academic supervisor and the intern.
   - The relation between the intern and the Field supervisor.
   - Completion of the training plan.
   - Discussion of the problems that may be arose with the academic supervisor and the field supervisor.

- The training report that describes the actual training of intern.

b. **30 Marks:** the field supervisor's evaluation.

c. **70 Marks:** the Internship supervisor's evaluation (distributed as follows: 30 Marks for the Internship supervisor, 20 Marks for the final report, and 20 Marks for the presentation)

d. The Internship supervisor records the mark and the number of training hours in the form prepared for this purpose

e. The mark is to be approved by the College Dean, or his deputy, and by the CPSO.

f. An original copy of the final grade is to be sent to the Office of Admissions and Registration to be included in the intern's record at the end of the semester in which the intern performed the training, with a copy for keeping at the CPSO.

g. Marks are to be submitted to the CPSO within two or three weeks of the end of training so that they can be entered together with marks for other courses. There should be separate lists for male and female interns.

h. In case of mistakes in recording marks, or if lists of male and female interns are not separated, the results will be returned to the College to carry out the necessary action before returning the sheets to the Office of Admissions and Registration.

i. In case of delaying the submission of the grade to the CPSO after the semester in which the intern trained, the grade is returned to the College in order to be entered with the results of the next semester, or in accordance with other agreed arrangements as stipulated by the University's regulations.

Assessment of the effectiveness of the training

a. The members of the Jury will fill up a questionnaire that focuses on the learning outcomes, quality of the training site, and that of the site supervision.

b. The Internship Coordinator will analyze the feedback expressed in the questionnaire

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	The Training Center
V 1.1	20/09/2012	Policy Reviewed	Vice President for Student Affairs
V 2.0	27/05/2017	Major changes to the policy in terms of supervision, performance and grading	Vice Chancellor for Academic Affairs

Undergraduate Completion Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Purpose

This policy outlines the procedure to be followed by admitted undergraduate students until their graduation and describes how the graduation requirements, as approved in the accreditation of the program by the CAA, are implemented. Furthermore, it also includes how completion of the requirements of a degree is assessed.

Addition of the program on the Registration system

a. Once the program is awarded initial accreditation from the CAA, the Dean of the College sends to the Registrar the following:
   - The final list of all courses in each category: Compulsory and elective courses of General Education courses, College courses, Major courses, and Minor courses when applicable.
   - The detail of each new course: course number, credit hours, contact hours of Lectures, Lab sessions, and Tutorial sessions per week, pre-requisite course(s), level of study.

b. Once the Registration officer enters the program on the system, he submits to the Registrar a printout of the entered study plan on the system.

c. The Registrar ensures that the entered study plan complies with the CAA standards:
   - It contains 24 credit hours of General Education,
   - The number of credit hours of Major courses adds up to at least 30 credit hours,
   - Minor courses adds up to at least 15 credit hours if applicable,
   - the total number of credit hours of the program is as approved by the CAA: not less than 120 credit hours for Bachelor Programs.

d. The Registrar sends a hard copy of the study plan to the Dean of the College for approval.

e. Once the approval of the Dean is obtained, the Registrar sends the list of the details of new courses along with their fees to the Finance Department to enter on the system.

f. The Registrar activates the new program on the Registration system so that admission to the program can be opened, and its courses could be planned on the Timetable module of the Registration System.

Courses to be taken outside AU

a. Students can benefit from AU MoUs with other institutions. AU allows its non-transferred students to take some courses of their study plan in accredited institutions in the UAE or abroad during their studies.
b. Most of the courses, that could be studied outside AU, must be credit hours of courses of the first 3 level years: 1st, 2nd , and 3rd year.
c. The transferred courses should not, in any case, include more than 49% of the credit hours of the program.
d. Under no circumstances, the Dean of the College and the Registrar will grant approval to study more than 12 credit hours of the last thirty credit hours of the program outside AU.
e. The academic advisor and the Registration officer in charge are responsible in following up the academic progress of the student, to avoid delays in the student's graduation.

Follow up of graduating students

a. At the end of the add and drop period of each semester, the Registrar sends to the Dean of each college, the list of graduating students along with their transcripts, registered courses during that semester, and the pre-graduation form to be signed by the academic advisor.
b. For each graduating student, the academic advisor fills in the pre-graduation form whose content mainly is a detailed checklist whose aim is to check if the earned courses along with the registered courses during the current semester cover all the requirements for graduation (Compulsory and Elective courses of each category) subject to passing currently registered courses.

   The form also contains a section concerning equivalent courses that were taken based on approved request form, which is kept in the student's file at the registration department.
c. In parallel, each registration officer reviews the academic records of graduating students, and compares them to the official study plan of the program.
d. Well before the end of the semester, each registration officer compares the results of his/her analysis with that of the academic advisor. In case of discrepancy, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.
e. Finally, for each program, the list of graduating students' names and IDs is compiled by the Registration Department before the end of the semester.

Follow of approved graduating students after announcements of end of semester results

a. Once the results are announced, the Registrar sends to the Dean of each College:
   - The list of graduating students, along with their final Transcript, whose CGPA is 2.0 or more

- The list of graduating students that completed all courses but their CGPA is less than 2.0. These students will be asked by the academic advisor to re-take courses from their study plan to raise their CGPA to 2.0 or more.
- The list of graduating students who failed one or more courses during their last semester. These students may ask for a re-sit exam if they have failed in one course and it is the last course required for graduation. Otherwise, they will re-take the courses during the following semester.

b. After coordination with the Registrar, the Dean of the college sends the list of the graduates to the Academic Council of the University for approval.

Change of student status from Regular to Graduate student

a. Each Registration officer shall change the status of the student to a graduate student after ensuring that:
   - The name of the student is in the approved list of graduates.
   - The individual report of the student is signed by the academic advisor, and the Dean of the College.
   - The most recent personal data (filled in by the graduating student in the graduation form) are consistent with the existing ones on the system.
   - The student submitted his/her clearance sheet.

b. The Registrar sends the list of declared graduates to the Deans of the Colleges including the following information: ID, Name, earned credit hours, CGPA, and program.

c. The Registrar is responsible for publishing the list of graduates online to be used by the Department of Programs and Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

Important

a. Changing the name of the graduate is not allowed once the graduate has been issued his/her graduation certificate even if he/she presents an official document.

b. A Graduate cannot be re-enrolled in the same program to raise his CGPA if he/she had been issued his/her graduation certificate.

Graduation Certificates

a. Each graduate will be given a Graduation Certificate in Arabic and English.

b. The certificate shows the Merit that corresponds to the student's CGPA according to the following scale:

Scaling System for Graduation

Cumulative GPA	Merit
From 3.8 to less than 4.0	Excellent with Merit
From 3.6 to less than 3.8	Excellent
From 3.0 to less than 3.6	Very Good
From 2.5 to less than 3.0	Good
From 2.0 to less than 2.5	Satisfactory

- One of the two graduation certificates contains the Security Chip.
- Each graduate is entitled to only one Wall Graduation Certificate in either Arabic Language or English Language depending on the Medium of Instruction of the program. This certificate is distributed during the Graduation Ceremony.

Time Allowed for Completion of a Degree Program

a. The maximum time for a student in which he/she may complete a degree program is double the regular number of required semesters. In other words, a four-year bachelor degree must be completed in a maximum of 16 regular semesters of enrolment in the program (not including summer semesters). Suspended semesters are not counted in the time allowed for students to complete their degree.

b. The minimum time allowed to complete a degree for non-transfer students is a minimum of six regular semesters for four-year programs and eight regular semesters for five-year programs.

c. The maximum and minimum number of semesters of enrollment for transfer students are determined after the deduction of the number of earned/transferred semesters (15 credits correspond to one semester) from the above limits.

d. Suspended semesters are not counted in the time allowed for students to complete their degree.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Minor change – scaling system	Vice President for Student Affairs
V 1.2	27/05/2017	Minor change – credit hours for General Education	Vice Chancellor for Academic Affairs

Graduate Completion Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Oct. 2017
		Next Review Date	Jul. 2020

Purpose

This policy outlines the procedure to be followed by admitted undergraduate students until their graduation and describes how the graduation requirements, as approved in the accreditation of the program by the CAA, are implemented. Furthermore, it also includes how completion of the requirements of a degree is assessed.

Addition of the program on the Registration system

a. Once a Graduate program is awarded initial accreditation from the CAA, the Dean of the College sends to the Registrar the following:
   - The approved list of all courses of Compulsory and Elective courses.
   - The detail of each new course: course number, credit hours, contact hours of Lecture, Lab sessions, and Tutorial sessions per week, and the pre-requisite course(s).
   - The minimum and maximum time allowed for completing the Thesis/Dissertation when applicable.

b. The Registration officer submits to the Registrar a printout of the entered study plan on the system which shows the list of courses along with their details in each category, and the number of required credit hours in each category.

c. The minimum number of credit hours/credit units required for the completion of a qualification must be no less than the following:
   - Associate degree (Diploma) or its equivalent – 60 semester hours or equivalent;
   - Baccalaureate Degree or its equivalent – 120 semester hours or equivalent;
   - Postgraduate Diploma – 24 semester hours or equivalent;
   - Master's Degree or its equivalent – 30 semester hours including thesis requirements (if any), or equivalent. If the program has a thesis component, then the number of credit hours of taught courses should not be less than 21 credit hours;
   - Doctoral Degree or its equivalent – 42 semester hours including dissertation requirements, or equivalent, with at least 24 of those hours being "taught" classes rather than dissertation credits.

d. The Registrar sends a copy of the study plan to the Dean of the College for approval.

e. Once the approval of the Dean is obtained, the Registrar sends the list of new courses along with their fees to the Finance Department to be put on the system.

f. Finally, the Registrar activates the new program on the Registration system so that admission to the program can be opened and its courses could be planned on the Timetable module of the Registration System.

Courses to be taken outside AU

a. Independently of the number of credit hours that could be transferred to transferring Graduate students who are in good academic standing (CGPA is 3.0 out of 4.0 or more), the maximum number of credit hours that will be transferred should not exceed 25% of the total number of credit hours of the courses that compose the program.

b. The transferred courses should not, in any case, include more than 25% of the credit hours of the final year of the program.

c. To encourage its students to benefit from its MoUs with other institutions, AU encourages its non-transferred students to take some courses, up to 6 credit hours, of their study plan in accredited institutions in the UAE or abroad during their studies. However, at least 3 credit hours must be a course of the 1st year of the program.

d. Under no circumstances, the Dean of the College and the Registrar will grant approval to study more than 6 credit hours of the final year credit hours outside AU.

e. The academic advisor and the Registration officer in charge are responsible in following up the academic progress of the student, to avoid delays in the student's graduation.

Follow up of graduating students

a. At the end of the add and drop period of each semester, the Registrar sends to the Dean of each college, the list of graduating Graduate students along with their transcripts, registered courses during that semester, and the pre- graduation form to be signed by the academic advisor.

b. For each graduating graduate student, the academic advisor fills in the pre-graduation form whose content mainly is a detailed checklist for whether the earned courses along with the registered courses cover all the requirements for graduation are fulfilled subject to passing currently registered courses.

   The form also contains a section concerning the progress of the thesis/dissertation.

c. In parallel, each registration officer reviews the academic records of the students, and compares it to the official study plan of the program.

d. Well before the end of the semester, each registration officer compares the results of his/her analysis with that of the academic advisor. In case of discrepancy, he/she transfers the case to the Registrar who will in turn discuss the case with the Dean of the College.

e. Finally, for each program, the list of graduating students' IDs dressed by the Registration Department before the end of the semester.

Follow up of approved graduating graduate students after announcements of end of semester results

a. Once the results are announced, the Registrar sends to the Dean of each College:
   - The list of graduating graduate students along with their final Transcript whose CGPA is 3.0 or more
   - The list of graduating graduate students who completed all courses but their CGPA is less than 3.0. These students will be asked by the academic advisor to re- take courses from their study plan to raise their CGPA to 3.0 or more
   - The list of graduating graduate students who failed one or more courses during their last semester. These students may ask for a re-sit exam if they have failed in one course otherwise, they will re-take the courses during the next semester.

b. After coordination with the Registrar, the Dean of the college sends the list of the graduates to the Academic Council of the University for approval.

Change of student status from Regular to Graduate student

a. Each Registration officer shall change the status of the student to a graduate student after ensuring that:
   - The name of the student is in the approved list of graduates.
   - The individual report of the student is signed by the
   - Academic advisor and the Dean of the College.
   - The most recent personal data (filled in by the graduating student in the graduation form) are consistent with the existing ones on the system.
   - The student submitted his/her clearance sheet

b. The Registrar sends the list of declared graduates to the Deans of the Colleges including the following information: ID, Name, earned credit hours, CGPA, and program.

c. The Registrar is responsible for publishing the list of graduates online to be used by the Department of Programs and Certification of the Ministry of Education - Higher Education affairs before the distribution of graduation certificates.

Important

a. Changing the name of the graduate is not allowed once the graduate has been delivered his/her graduation certificate even if he/she presents official documents.

b. A Graduate cannot be re-enrolled in the same program to raise his CGPA if he/she had been issued his/her graduation certificate.

Graduation Certificates

a. Each graduate will be given a Graduation Certificate in Arabic and English.

b. The certificate shows the Merit that corresponds to the student's CGPA according to the following scale:

Scaling System for Graduation

Cumulative GPA	Merit
From 4.0 to 4.5	Excellent with Honors
From 3.75 to less than 4.0	Excellent
From 3.0 to less than 3.75	Very Good

- One of the two graduation certificates contains the Security Chip.
- Each graduate is entitled to only one Wall Graduation Certificate in either Arabic Language or English Language depending on the Medium of Instruction of the program. This certificate is distributed during a Graduation Ceremony.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Dean of Admissions and Registration
V 1.1	20/09/2012	Minor change	Vice President for Student Affairs
V 1.2	15/10/2017	Minor change – added details on number of required credit hours	Vice Chancellor for Academic Affairs

Academic Progress Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

This procedure describes the different issues involved in the follow up of the academic progress of the students at the University.

Course Selection

a. Students should select, after consultation with the academic advisor, the courses they wish to register from their study plan before registering these courses.
b. The selection process of the courses takes place during both the early registration and the regular registration periods.
c. To avoid registration errors, the Registration system will automatically check the selected courses based on the following criteria:
    - The selected courses are listed in the student's study plan.
    - The student has met prerequisites of the selected courses if any.
    - The student has met the minimum credit hours required to register the selected courses if any.
    - The minimum and maximum study load of the student should be adhered to.
    - The student has met the minimum English Language Proficiency
    - Level which is required for the registration of each of the selected courses.
d. The selection of certain courses for registration becomes mandatory if the student has completed a certain number of credit hours without passing those courses.
e. Course registration, which is processed during the early registration period is exempted from meeting the prerequisite conditions above if the pre- requisite course is registered during the current semester. However, they will be automatically dropped from the selected courses if the student fails to pass any of the prerequisites.
f. Warned students and students on conditional admission are not eligible for early registration and should get their academic advisor’s approval for their selected courses during the registration period.
g. Students on conditional admission will have to register in the courses listed in the conditional acceptance letter of their admission during their first semester of studies after fulfillment of English proficiency requirements.
h. A student may ask his/her academic advisor to waive a restriction on his/her course selection such as: allowing them to register for a free study course not listed in their study plan. The student will have to provide a valid justification for the waiver.

i. The Registration officer may register courses on the student's behalf on the system, subject to the approval of the academic advisor and the Registrar, to waive any approved academic restriction mentioned above.

Course Registration

a. Course Registration is available to all students who completed the course selection process and who are not on academic hold.

b. Students may register in courses shown in the schedules published by the Registration Department, provided that seats are available, and there are no timing conflicts in the schedules of the courses they register in.

c. The total semester credit hours of registered courses should be within the authorized student's study load which is defined as follows:

Student's Academic Standing	CGPA	Minimum Credit Hours	Maximum Number of credit hours
Excellent Academic Standing	3.6 - 4	9	21
1st Academic warning	Below 2	9	15
2nd Academic warning	Below 2	9	12

Academically warned students having 1st, or 2nd warning must repeat at least 3 to 9 credit hours.

Add/ Drop courses

a. Students may add courses during early registration, registration, and add/drop period of the semester.

b. Students may drop courses during early registration, registration, add/drop period of the semester.

c. To perform add/drop, students should not be on academic hold.

d. Credit hours of registered courses should be within the student's Study Load. Graduating students whose remaining courses have less than the minimum required number of credit hours on their study load band are exempted from this restriction.

e. The Registration Officer may add/drop courses on the student's behalf, subject to the approvals of the academic advisor and the Registrar, to waive any academic restriction mentioned in "d".

Changing Course Section

a. Students may change their registration from one section of a course to another one provided that they are:

- Not on academic hold

- There are no timing conflicts caused by changing to the new section with the other already registered courses
- seats are available in the section they are changing to.

b. Course section change is allowed from the start of early registration until the end of add/drop period.

c. Changing course section does not require approval of the academic advisor, and may be initiated and completed by the student using online registration.

Withdrawal from Registered Courses

a. Withdrawal from a registered course is allowed during the Withdrawal period for the semester specified in the academic calendar.

b. A student may request a withdrawal from a course, and receives a grade of "W" in the withdrawn course.

c. Students on academic hold are not entitled to withdraw from courses without approval of the academic advisor and they are required to seek the approval of the Registrar to process their request.

d. Credit hours of remaining registered courses should be within the student's Study Load.

e. The Registration Officer may withdraw courses on the student's behalf, subject to the Registrar's approval, to waive any academic restriction mentioned in "c".

Incomplete Requests

To be eligible for an incomplete request, students must have an acceptable evidence for failure to attend a final examination of a given course in which they have a minimum total score of at least 36 out of 60 in their coursework.

a. Acceptable evidence for failure to attend a final examination consists of the following:
   - Illness certified in a medical report approved by the University doctor
   - Death certificate of a first or second degree relative c)Arrest or summons before a court or other legal body
   - 2 final exams are scheduled at the same time and the same day
   - Having more than 2 final exams in the same day

b. The request must be made to the Registration Department within 72 hours after the date of the exam.

c. Incomplete requests should be sent by the Registration Officer to the Course Instructor before the end of the incomplete deadline as published in the academic calendar.

d. The instructor should obtain the approval of the Department Head and the Dean of the College before the end of the deadline as shown in the Academic Calendar.

e. The request is accepted when the approvals are granted.

f. A student who was granted an "incomplete" grade for a course, he/she will need to take the final exam before the end of the first week of the following semester in which he/she is registered.

g. The Grade obtained in a course for which Incomplete Grade was accepted, is not subject to Grade Complaint.

h. Students who fail to take the final exam as stated in 6.6 will receive a grade "F" in the course.

Re-sit Exam

a. A re-sit exam allows students to re-take the final exam of a course in which the grade "F" is obtained in their last semester before graduation.

b. Only students who meet the following conditions are eligible for a re-sit:
   - The student is not on academic hold, and meets the financial preconditions of the request.
   - The student has passed all his/her courses except for one.
   - The student submits the request for re-sit exam before the beginning of the following semester.

c. The application for re-sit exam needs to be approved by the Dean of the College offering the course, and the Registrar.

d. The Head of Department will schedule a date and time for the exam, which should be before the end of the 2nd week of the following semester.

e. The College Dean will have to certify the grade, and send it to the Registration Department.

f. The Registration Officer will update the grade by following the grade change procedure, and re-compute the new CGPA.

g. If the Instructor has left the University, another Instructor will set the exam paper equivalent to that which was administered by the instructor.

Procedure for changing the study load

a. Students may request to change their study load band to another band with higher maximum for a particular semester during the registration, or add/drop periods.

b. To place the request, the student's CGPA has to be at least 3.6 in the preceding semester, or the student is expected to graduate at the end of the semester, given that his/her CGPA is at least 2.0.

c. The student should submit his/her request to the academic advisor.

d. The necessary change will be applied on the system upon the approval of the academic advisor.

e. The Registration officer may change the study load on the student's behalf subject to the Registrar's approval.

Suspension/Withdrawal of Registration

a. A student has the right to suspend his studies for 4 semesters during the whole period of his/her studies. However, the suspension for more than two consecutive semesters is not allowed.
b. The Registrar and the Dean of the College may decline the request if the student did not progress in his/her studies normally i.e.: The student is likely to exceed the maximum period, which is allowed to complete the program.
c. Students should request suspension of the semester no later than the end of the semester withdrawal period.
d. The request should be submitted to the registration department, along with the justification for the suspension.
e. The registration officer should obtain the approval of the Registrar in order to process the request.
f. If a student requests the suspension of registration after the Add/Drop period, then all registered courses will be dropped. A grade of "W" will show on the student's transcript for all registered courses.
g. Refunds are assessed in accordance with the refund policy of the University.

Forced temporary suspension by the Academic Council

The Academic Council may suspend an undergraduate student on Warning 3 for one or two semesters to enable him/her to repeat courses in another University to raise his/her Cumulative Grade Point Average (CGPA) to 2.

Transfer to a new program

a. Admitted students may request to transfer to another program before the start of their first semester of studies, subject to availability of seats. However, they should meet the minimum admission requirements of the program they wish to join.
b. For continuing students, the CGPA's should be equivalent to the admission requirement of the new program.
c. Continuing students are allowed one program transfer only during their studies, unless they are granted a waiver by the Registrar.
d. The availability of seats in the new program is a prerequisite to accepting transfer requests.
e. If the number of available seats in a program is less than the number of requests, the Dean of College selects the approved requests on a competitive basis using the CGPA, High School score, previous program, and eventually grades obtained in specific courses that are relevant to the new specialization. He can also arrange interview sessions.

Academic Hold

a. A student on hold is prevented from requesting a number of activities at the University including course registration.
b. A student is put on academic hold if he/she commits any of the following violations:
    - He/she suspends a semester without prior approval.
    - He/she exceeds the number of semesters allowed to complete the academic program.
    - He/she receives an academic warning. The hold is temporary and can be removed by signing the required College undertaking, and if the academic warning is not the 3rd one.
c. He/she performs an academic or non-academic act deemed in violation of the University rules and regulations.
d. Academic hold is issued by the concerned College, or by the Chairman of the Disciplinary committee.

Honors List

a. Each College's honors list is made of academically distinguished students who obtained the first three highest CGPA in the College among those that have completed at least 60 credit hours at AU.
b. The nominated students should have demonstrated good conduct, and they have not been delayed in their studies.
c. The list is issued for each regular semester by the Registration Department.

Attendance regulations

a. Instructors are required to take attendance at the start of each class, marking students as present, absent.
b. Completed attendance logs on the System cannot be modified without approval of the Dean of the College and the Registrar.
c. Students that register in a course during the Add/Drop Period will be marked as "excused" for the classes they missed.
d. A student wishing to be excused from attending a session should gain the approval of the Instructor before the beginning of the class, or present a valid excuse after the class in the case of emergencies.
e. Students may be excused for the following reasons:
    - Proven medical emergency
    - The death of a relative
    - Held by a third party beyond their control (police, court, etc.)

f. If a student is absent for 10 percent of class hours, the Instructor will issue a 10 percent absence warning.

g. If a student is absent for 20 percent of class hours, the Instructor will issue a 20 percent absence warning.

h. If a student is absent for 25 percent of class hours, the Instructor will issue a 25 percent absence warning, and the student will receive an F grade.

i. A 25 percent absence warning requires the approval of the Dean of the College offering the course.

j. Automatic notification of warnings will be sent to students by email and SMS.

APPENDIXES

I: English Proficiency Levels

The Registration Department should place each student on an English Proficiency Level based on proven documentation produced by the student.

LEVEL	TOEFL	TOEFL IBT	IELTS
L0	> 550	> 79	Band 6
L1	> 500	< 61	Band 5
L2	> 480 and < 500	> 50 and < 61	Band 4.5
L3	> 450 and < 479	> 45 and < 50	Band 4
L4	< 450	45	Band 3.5
L5	None	None	None

II. Grading System

The University recognizes the grading system as outlined below. The merit of the degree is determined according to the following scale:

Marks	Grade		Merit
	Letter	Point	
From 90 to 100	A	4.0	Excellent
From 85 to 89	B+	3.5	Very Good (High)
From 80 to 84	B	3.0	Very Good
From 75 to 79	C+	2.5	Good (High)
From 70 to 74	C	2.0	Good
From 65 to 69	D+	1.5	Pass (High)
From 60 to 64	D	1.0	Pass
Less than 60	F	0	Fail
-	XF (Academic Integrity Violation)	0	Fail

III. Semester Grade Point Average (GPA)

- The GPA indicates the student performance during the semester.

- The GPA is calculated by dividing the product of credit hours and point grade by the sum of credit hours of the semester.

The following example illustrates the calculation of the GPA:

Subject	Credit Hours	Points	Product of credit hours by point grade
Mathematics	3	3	9
Statistics	3	2	6
Physics I	3	3	9
Islamic Culture	3	4	12
Arabic language	3	4	12
Psychology	3	2	6
Total	18		54 Points

In this example, if a student obtains the results as set out in the table above, his/her grade point average will be computed as GPA = 54/18 = 3.

IV. Cumulative Grade Point Average (CGPA)

- The Cumulative Grade Point Average (CGPA) indicates the student's average performance over all semesters up to the last completed semester. To calculate the CGPA, the following formulae shall be used:

  CGPA = (Total of the grade points of each course X credit hours) / total credit hours taken.
- To calculate the CGPA, the last grade obtained by the student is considered.
- If a student retakes a course, the original grade of the student will appear in the transcript. However, the CGPA is calculated based on the latest score.
- Transferred courses will not be included in the CGPA calculation.

V. Grade Modification

- Grades can be modified only in the following situations:
  - Changing an incomplete grade after the student completes the course.
  - A result of grade complaint. The approval of the Dean of the College offering the course is required in such an instance.
  - A data entry mistake by either the Registration Officer or the Instructor.
- A record of the old grade and the modification should be kept by the Office of Admissions and Registration.

VI. Graduation Requirements

- A student will be awarded a degree subject to fulfilling the following requirements:
  - Completion of all courses of the academic program as described in the course plan.

- Completion of practical training/ Thesis as specified in the study plan.
- A CGPA of at least 2.0 for undergraduate programs and a CGPA of at least 3.0 for Graduate programs.

– In the event that the student completes all the courses but falls short of the CGPA requirement stated above, he/she needs to repeat courses in order to raise his/her CGPA to the required minimum.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Academic Council
V 2.0	20/09/2012	Major changes in sections – Academic warning, suspension/withdrawal, Academic probation for undergraduate programs, and the grading system	Associate Vice President for Academic Affairs
V 2.1	14/02/2018	Student's academic standing, Grading system (XF)	Vice Chancellor for Academic Affairs

Grading and Assessment Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

This policy describes how student performance is assessed, and how final grades are recorded on the University system by the Registration Department.

Course Grading Scale Setup

a. The Instructor of each class of students is required to enter the grading components of his/her course on the Student Information System (SIS) during the first week of the semester.
b. The Instructor should follow the course assessment methods, which are described in the approved description of the course.
c. The overall score is normally distributed as follows:
    - 50 % for semester tests and activities,
    - 20% for the Mid-Semester Examination
    - 30% for the Final Examination
d. The grading scale should be made available to students during the first week of classes.

Grading Process

a. On completion of each grading component (a quiz, an assignment, tests, and Mid-Semester exam), the Instructor will log the grade on the SIS for every student, no later than one week after the grading of that component.
b. The Instructor can modify/review the grade of any component at any time before submitting the grade to the Registration Department.
c. Once the grades are submitted to the Registration Department, any changes to the grades will have to be processed using the Grade Modification procedure given below.

Grade Submission

a. The Instructor is required to submit the grades to the Registration Department after having ensured that the grades for all students have been entered. No cell is left blank on the grade sheet.
b. The Instructor should lock the grades in the SIS against further changes, then print them and sign a hard copy of the Grade sheet.
c. The hard copy will have to be reviewed by the Head of the Department and the Dean of the College.

d. If both the Head of Department and the Dean of the College approve and sign the grade sheet of the class, the original of the hard copy of the grades will be sent to the Registration Department.

e. One copy of the grade sheet must be kept in the Dean's office of the college that offers the course.

f. If the Registration Department finds any discrepancies between the grades entered by the Instructor on the SIS and the hard copy of the Grade sheet, then the sheet is sent back to the Instructor for correction.

g. If the Registration Department finds no discrepancies, then the electronic copy is certified/locked, and the hard copy of the grade sheet is filed.

h. When the electronic copy is certified/locked, the Instructor will no longer be able to unlock the grades book and make further changes. The appropriate Grade Modification procedure will have to be followed to make further changes.

Procedure for Grade Modification

a. Students can submit a request for Grade Complaint in a course at the Registration Department during the Period shown in the academic calendar (the next two weeks the announcement of the results on the University website).

b. The Registration Department sends the request to the Dean's office of the College, which offers the course who will, in turn, forward it to the Instructor of the course.

c. The Instructor will review the Final Examination and decides if the grade will remain unchanged, or review the grade upwards or downwards by giving the justification of the modification.

d. Once the Dean approves the decision of the Instructor, he/she will forward the decision to the Registration Department who will inform the student of the decision.

e. The student cannot introduce another Grade complaint for the same course if the grade was kept unchanged.

f. If the Grade is kept unchanged, the student may introduce a written complaint to the Dean who could designate a committee of faculty members to review the answer paper of the student.

g. If the Instructor is no longer at AU, the Head of Department will investigate the complaint made by the student by reviewing the grades left by the Instructor, and the answer sheet of the Final exam of the student.

Copies of Final exam papers

a. Each Instructor should hand back the answer sheets of the students at the Head of Department Office, which keeps them for 2 regular semesters.

b. The Instructor should attach, to his/her end of semester report, a copy of all tests, Mid-semester exam, and Final Exam along with the answers to each question and the mark of each question.

c. The Instructor will also attach, to his/her end of semester report, a copy of the answer sheets of the Mid-semester exam and the Final Exam of three students who have obtained the best, middle, and worst grades (A, C, and F) respectively.

Submission of the Final Grades

a. The Instructor is expected to submit the Grade sheet to the Registration Department within 72 hours from the date of the Final Exam.

Schedule of the Final Exam

a. The Length of the Final Exam is Two (2) hours for all non-practical courses

b. The Final exam must be administrated on the day, the time, and place as announced on the Final Examination Schedule.

c. Instructors must use the University grading system, which is shown in the following table.

The university adopts the following grading system:

Marks	Grade		Merit
	Letter	***Point***	
From 90 to 100	A	4.0	Excellent
From 85 to 89	B+	3.5	Very Good (High)
From 80 to 84	B	3.0	Very Good
From 75 to 79	C+	2.5	Good (High)
From 70 to 74	C	2.0	Good
From 65 to 69	D+	1.5	Pass (High)
From 60 to 64	D	1.0	Pass
Less than 60	F	0	Fail
-	XF (Academic Integrity Violation)	0	Fail

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Academic Council
V 2.0	20/09/2012	Major Change – Grading system	Associate Vice President for Academic Affairs
V 2.1	03/09/2017	Inclusion of grade XF for Academic Integrity	Vice Chancellor for Academic Affairs

Independent Study Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Independent Study is an opportunity for students to earn academic credit for learning outside the formal class structure, under the individual direction of a faculty member. Independent Study is a flexible mode of learning that offers the student an alternative to the classroom. Though it is perhaps best suited to students who, for whatever reason, are unable to do resident work, it is by no means restricted to this group.

Full-time students may find Independent Study a viable option in that it provides benefits such as resolving scheduling conflicts, opportunity to raise their grade point average (GPA), and allowing students who do not wish to attend summer courses the opportunity to continue their program of study while off campus.

Independent Study

a. AU allows a maximum of nine credit hours of Independent Study towards the Bachelor degree, but some departments may be more restrictive.
b. A maximum of three credit hours may be taken in any one semester.
c. A prior written approval referred to as Study Agreement is required prior to any initiation of course work.
d. For an undergraduate student to be eligible for a course to be taken as Independent Study, the students must have passed any prerequisites and have completed a significant portion of his/her undergraduate studies with CGPA standing of a very good or relevant documented experience in the subject matter.
e. The student is required to complete and sign an Independent Study Agreement.
f. The Independent Study Agreement must be approved and signed by the Independent Study Coordinator of the College and head of the student's major department.
g. Only faculty members may sponsor courses to be taken as Independent Study.
h. A minimum of 25 hours of work of in dependent study is required per semester for each one credit hour.
i. Registration for Independent Study courses must be done in the same period as all other courses.
j. Independent Study credit will be granted upon satisfactory completion of the project requirements as defined in the Independent Study Agreement
k. Independent study work cannot exceed 25% of the course work requirement for master's degree students.
l. Graduate level independent study may not be used as an avenue for allowing graduates to take courses that are part of the core or major courses in their program.
m. For graduate students, the department may require a student to take undergraduate major courses as a means of making up deficiencies. The student should informed that the credit hours

these courses will not be part of the completion requirements but will used in the computation of their CGPA.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Academic Council
V 1.1	20/09/2012	Policy reviewed – no change	Associate Vice President for Academic Affairs
V 1.2	03/09/2017	Maximum credit hours allowed /Faculty may sponsor courses / signing of agreement	VCAA

Class-Size Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Oct. 2017
		Next Review Date	Jul. 2020

AU is committed for implementing efficient class-size policy. Selection of class size depends on the nature of the course and insures effective course delivery. This policy sets the guidelines for selection of appropriate class size for each course in different colleges.

Content and Guidelines

All AU colleges have guidelines regarding maximum class size, the rationale for such guidelines, demonstrates that the AU adheres to its own policies and the guidelines issued by the CAA.

Table 1. Class size of different courses implemented in AU colleges

College	Theoretical Course	Lab Sessions	Clinical and Technical	Studios	Tutorial
Dentistry	60	20	30	--	--
Pharmacy and Health Sciences	60	20	30	--	--
Engineering and IT	45	20	--	--	30
Architecture, Art and Design	45	20	--	18	--
Humanities and Sciences	45	20	--	--	25
Business Administration	45	20	--	--	--
Mass Communication	45	20	--	--	--
Law	45	--	--	--	30
Class Size	**40 - 60**	**20 - 30**	**30**	**18**	**25-30**

Table 2. Class size of courses in some graduate programs offered by AU.

• Colleges	Programs					
Business Administration	25					
Law		15				
Pharmacy			20			
Dentistry				12		
College of Architecture, Art and Design					Theory: 25	studio: 15
College of Humanities and Sciences						Theory: 25; Studio: 10
Class Size	**25**	**15**	**20**	**12**	**40**	**35**

[1] = Master of Business Administration
[2] = Master of Law
[3] = Master of Science in Pharmacy
[4] = Master of Science in Restorative Dentistry
[5] = Master in Urban Design
[6] = Professional Diploma in Teaching

- The maximum class size does not mean the optimal class size. The maximum class size reflects the level of the course, course-learning objectives, degree of faculty-student interaction and instructional methods used.
- Deterioration of the learning experience is generally experienced if the class size goes above the maximum level.
- In accordance with the CAA and AU standards, the class size depends on the size of lecture hall, effective teaching and availability of modern educational resources.
- Rules and regulations governing supervised studies are outlined and published in the student handbook.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	20/02/2013	Initial policy	Academic and Educational Affairs Council
V 1.1	08/10/2017	Changes to class sizes for Graduate and undergraduate as per CAA standards. Inclusion of new programs	Vice Chancellor for Academic Affairs

Academic Advising Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

AU provides current and prospective students, academic advisement that is accurate, consistent, and timely so that students can develop meaningful educational plans compatible with career and life goals.

The purpose of this policy is to:

1. define goals and nature of AU academic advising program;
2. specify the responsibilities of advisors and advisees; and what students can expect from the advising program.
3. describe the structure of the University's advising program.

Introduction

As part of its dedication to academic success, AU is committed to providing high quality academic advising in order to help students in the development and pursuit of academic objectives consistent with their life goal. Academic advising is an ongoing process that connects students to the university. We believe it is important to empower each student with knowledge, resources and skills that will leads to academic success and lifelong desire to learn inside and outside the classroom.

AU Advising

a. All students shall be informed of the advising policy and advising process during the initial orientation and be directed to an appropriate advisor;
b. All regular students shall be assigned an advisor;
c. All students on probation must be given regular advising each semester;
d. All students expected to graduate must be advised at least twice every semester of their final year;
e. Student counseling and career counseling shall be made available to all matriculated students;
f. Advising by faculty for all incoming and continuing students shall be made available at least once each semester;
g. Assessment of department advising shall be done every semester as a part of the regular program review process;
h. Academic departments advising shall be assessed and reviewed every year;
i. Funding and resources shall be made available to all units to ensure effective and efficient advising at all levels;

j. Training shall be provided for all advisors and peer mentors;

k. Accurate information shall be posted and maintained on the university's website.

The Goals of Academic Advising

a. To assist students in making their own decisions in choosing an appropriate course of study commensurate with their interests, abilities and meet their academic and life objectives;

b. To answer questions raised by students and to make them aware of the possible short- and long-range consequences of their choices;

c. Ensure that all students are aware of resources, services and educational opportunities at the University that may be pertinent to the student's educational objectives;

d. To be an information source regarding university policies, procedures;

e. To facilitate resolution of academic problem, conflict and concern, as appropriate;

f. Refer students as necessary to other resources;

g. To encourage students to be creative in their academic choices;

h. To be an on-going source of dialogue and advice about life and academic goals for students.

i. Collecting and disseminating information on student needs, wants perceptions, and trends in order to enhance AU institutional effectiveness and adaptability.

Implementation of Advising

University Responsibilities

- Make resources available for initial and on-going training of advisors and peer advisors;
- Gather and disseminate appropriate academic advising materials to assist colleges;
- Act as a reference service and respond to questions from colleges and departments, as well as from faculty and students;
- Be familiar with campus-wide advising problems and formulate and make suggestions for the improvement of the advising program;
- Provide academic advising orientation for newly appointed faculty;
- Make every reasonable effort to provide students, faculty, and appropriate staff with accurate information in the student handbook, university catalogs, class timetable, website, and other publications.

Colleges and Departments Responsibilities

Academic advising is a primary responsibility of the faculty members in each college. Academic advising should be integrally related to the rest of the educational process.

1. It is the responsibility of departments, colleges , and Student Services to:
   a. Ensure that advising is available for students when they need or wish it rather than merely when the College requires it. This means that advising opportunities shall be available to students throughout the academic year at regular, reasonable intervals.

b. Make all relevant (using any format deemed appropriate) information available to students. The following list is indicative of the types of information that might be made available:
   i. University rules, regulations, and procedures;
   ii. Support resources available on campus;
   iii. A copy of students' advising responsibilities;
   iv. Necessary forms and academic calendar;
   v. Study plan;
   vi. Internship opportunities;
   vii. Projected course offerings by the department;
   viii. A standardized template for students' individual study plans; and
   ix. University catalogs.

2. Provide training for advisors and peer advisors. They shall receive training in the following areas:
   a. Learning principles applicable to advising including:
      i. University rules, regulations, and procedures;
      ii. Support resources available on campus;
      iii. A copy of students' advising responsibilities;
      iv. Necessary forms and academic calendar;
      v. Graduate programs at AU;
      vi. Training opportunity;
      vii. Major /program requirements;
      viii. Projected course offerings by the department;
   b. Appropriate personal and occupational choices for their advisees
      i. Advisors must know the current state of the world outside AU if they are to give meaningful advise to students;
      ii. Advisors must be trained to relate students' abilities to requirements of choices.
   c. Technical requirements for the university requirements general education and major courses.
   d. Teaching advisees to:
      i. Take responsibility for their academic success over their career at AU;
      ii. Make realistic self-appraisals of their progress in such areas as:
         - intellectual development;
         - working alone;
         - learning to produce;
         - learning to consume;
         - appreciating the differences among human beings while still making value judgments;

- overcoming (rather than masking) personal, physical and educational problems and deficiencies.

e. Resources available on campus.

f. Take into account the entire context of their advisee's learning experience.

Advisor Responsibilities

1. Maintain the primary advising file for each advisee. At a minimum, these files shall contain:
    i. A written record of advising and referral documenting each formal advising session;
    ii. A copy of the advisee study plan.
    iii. Copies of advisee transcripts.
    iv. Copies of advisee current semester timetable.
    v. Semester by semester graduation study plan for each advisee.
2. Listen to advisee concerns and respect their individual values and choices.
3. Understand and effectively communicate all university and college academic policies and procedures.
4. Refer advisee to appropriate resources for both academic and non-academic concerns
5. Cooperatively evaluate and assess your academic performance and areas of strength while assisting in selecting courses.
6. Encourage advisee participation in co-curriculum activities.
7. Ensure that advisee are aware of opportunities and benefits available at AU.
8. Maintain confidentiality.
9. A graduation progress check sheet for each advisee.

Peer advisor Responsibilities

AU peer advisors are continuing senior students who work primarily with students on probation. They are chosen from a select group of students and complete an interview and training process. Peer advisors help students pick classes, provide information on academic policies and procedures, and make appropriate referrals to campus resources. They also provide advising based on their experiences as students at AU. Peer advisors hold walk-in and appointment hours.

Peer advisors can provide academic information from their own student perspective. They advise students on the “real deal” when it comes to choosing classes, picking a major, and utilizing campus resources. They share the lessons they have learned as AU students. Because peers are highly trained on advising material, they are a valuable academic resource.

Peer advisors serve six purposes:

1. Help new students and students in probation at AU.

2. Help advisee master basic academic processes
3. Teach and reinforce student skills for success (i.e. time management, study skills, etc.)
4. Act as referral source
5. Offer a different but complementary point of view from staff or faculty advisors' perspectives
6. Are role models for successful students

Student Responsibilities

The advising process depends on the thoughtful participation of the students. Students must assume the following responsibilities:

1. Become familiar with their advisors and advisor offices by initiating contact and seeking assistance on regular basis through email, phone, and individual appointment.
2. Become familiar with academic policies, dates, and deadlines.
3. Come prepared and on time to meeting with your advisor.
4. Ask for clarification if the advisor fails to explain an issue or concern in a way that sense to you.
5. Read all email communication from your advisor and other AU departments.
6. Inform your advisor of problems and concerns which may impact your academic performance as soon as possible
7. Familiarize themselves with requirements for the major/ program, as well as graduation and other requirements, contained in the appropriate University Catalog and other University publications;
8. Maintain their own personal academic advising folders and take them to every advising appointment. For undergraduate students, it is recommended that this folder include:
    a. Unofficial copies of prior college or university transcripts;
    b. Transcript;
    c. Current semester timetable; and,
    d. An individual study plan.
    e. Notes from formal advising sessions.
9. Obtain academic advice whenever it is needed from your advisor.
10. Develop an individual study plan. The individual study plan must be approved by the student's appropriate advisor.
11. Accept ultimate responsibility for their selection of classes, which incorporates their decisions as well as the academic advice that has been given.
12. Evaluate (if they so choose) academic advising programs and individual academic advisors by filling survey forms, speaking or writing to the head of departments, or the dean.

13. Meet with the academic advisor on regular basis If they are on academic warning or probation.

Peer Mentoring of Students on probation

Students with CGPA below 2.0 are considered on probation. The advisor shall advise the student to repeat courses with low performance with grades (i.e. "F" , "D", and "D+") in order to improve the CGPA. Each advisor will provide mentoring for a group of students on probation within his/her department. Mentoring includes peer mentoring, monitoring and progress reporting.

At the beginning of each semester, a list of students on probation is requested by the Deans of Colleges from the Registrar's office. The Deans will advise department Chairs to draw corrective actions.

The plan for helping students on probation includes:

1. This plan is executed at the departmental level and would include:
    - Holding regular individual meetings with students on probation.
    - Advising students on probation to repeat courses with grades less than "C" prior to registering in any further courses.
    - Request students on probation to visit instructors frequently during office hours.
    - Provide students on probation with peer mentoring from senior students.
    - Request students on probation to meet their peer mentor on regular basis.

The head of Department will request a feedback report on the performance record of each student on probation from course instructor(s). The progress is monitored through special forms maintained in the department. The department council will discuss the progress of students on probation in each of its regular meeting. Progress report will be sent to the dean.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/03/2013	Initial policy	Academic and Educational Affairs Council
V 1.1	07/02/2018	Policy reviewed	Vice Chancellor for Academic Affairs

Academic Probation Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Academic Probation (Undergraduate Programs)

- If a student's CGPA is less than 2.0 in any regular semester, starting from his/her second semester at the university, he/she will receive an academic warning. The Registrar will place students on academic probation when their CGPA falls below 2.00 or when the Registrar is notified by the college that a student has failed to meet other conditions for academic progress that may apply in some majors. The Registrar will notify students and his/her sponsor in writing of their academic probation status and of any conditions associated with the academic probation.
- A student on probation must raise his/her CGPA to at least 2.0 within two semesters, not including the summer session.
- The study load of warned students will be reduced, as follows:
  1. *First warning:*
     a. a maximum of 15 credit hours of which three or six credit hours are repeated (the priority is to repeat all the courses with grade F, D or D+ then register for new courses) depending on the CGPA and the previous semester's GPA.
     b. If, following the first warning, the student has still failed to raise his/her CGPA to 2.0 or higher at the end of the following semester (excluding the summer semester), the second warning will be issued.
  2. *Second warning*:
     a. a maximum of 12 credit hours of which six or nine credit hours are repeated (the priority is to repeat all the courses with grade F, D or D+ then register the new courses) depending on the CGPA and the previous semester's GPA.

- If a student having a second warning has failed to raise his/her CGPA to 2.0 or higher at the end of the following semester (excluding the summer semester), then the College Council will take one of the following actions:

1. Transfer the concerned students to another program if He/She met the following criteria:
   - Accomplishing 35 credit hours or less during their study.
   - The CGPA shall not be less than (2.0) points when calculating the courses of General Studies for them.
   - Approval of the college to which they are going to transfer.
2. Allowing the concerned student to study outside the University for one academic year if He/She met the following criteria and Regulations :

a. **Criteria:**

- The completed hours should be more than 35 credit hours.
- He/she is not Dental or Pharmacy student.
- The maximum number of courses to be studied outside the university to recover from warnings is 6 courses.

b. Regulations:

- The maximum period allowed to study outside AU is one academic year (including the summer semester).
- The number of credit hours registered by the concerned should not exceed three courses per semester.
- In case the college recommends three courses or less, students must complete their studies within one semester.
- Students are not allowed to register new courses other than the recommended courses to study outside of AU.
- The student acknowledges by a commitment that he/she is aware of removing the warning during one academic year only, and if he/she fails to do so, the university will dismiss him academically from the program to which he/she belongs.

3. dismissing the students concerned academically if :

- Credit hours completed 35 hours is or less, and the AGPA of the courses of General Studies is less than (2) points.
- Credit hours completed is more than 35 credit hours, and cannot be recovered from the warnings even by studying 6 courses outside the university.

NB:

The student will be dismissed if he / she enters the third academic warning for the second time and will not be entitled to appeal against this decision.

Academic Probation (Graduate Programs)

- The concerned student must obtain a CGPA of at least 3.0 points, during his academic career at AU, to be eligible to graduate. In case the CGPA declines from 3.0 points, at the end of the first semester of his/her enrollment at the university, he/she will be placed under a test, and will be allowed to register courses in the subsequent semester, to grant the student a chance to improve his/her academic performance. (raise the CPGA to 3.0 points or above).
- If the concerned student was not able to raise his/her CGPA to 3.0 points or above, he/she will be issued an academic recommendation, by academically dismissing him/her from the program , and this measure will be reflected on his/her transcript. (Academic Dismissal).
- The student may submit a petition to resume his/her studies, to the program coordinator, if the conditions required to recover from the academic warning is met. The college may accept the petition

after the students signs an undertaking of the courses to be completed, with a commitment to raise the CGPA to 3.0 or above, at the end of the semester in which the student resumes his studies.

- If the student fails to fulfill his commitment at the end of the semester, a final academic dismissal will be issued, without the chance to resubmit a petition.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/03/2013	Initial policy	Academic and Educational Affairs Council
V 1.1	03/09/2017	Inclusion of new criteria and regulations	Vice Chancellor for Academic Affairs

Course File Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Purpose

This course file policy states the standards for course preparation, update and revision.

Statement

All academic faculty members are required to prepare course files for courses they teach. Course files must include the following information, which may be in electronic form or hard copy:

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 assessment instruments;
6. comprehensive instructor review 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 learning outcomes were met (with evidence);
    d. appropriateness of textbooks and other learning resources;
    e. appropriateness of assessment 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 on the evaluation of the course.

Implementation

- Heads of department and deans are responsible for ensuring that the requirements of this policy is communicated effectively and are supported by appropriate administrative arrangements and documentation.
- It is the responsibility of course instructor to maintain and update their course files.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/03/2013	Initial policy	Academic and Educational Affairs Council
V 1.1	03/09/2017	Revised as per CAA standard	Vice Chancellor for Academic Affairs

Intensive Modes of Course Delivery Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2021

Purpose

The term *intensive modes of course delivery* refers to courses that are offered over a shorter duration than the normal standard semester. These may include short courses of a few weeks duration, and courses offered in a shortened summer semester.

Statement

To ensure that students have the same learning experience as that provided in a standard course delivery, following rules must be adhered to:

1. Students are fully informed of any modifications that may have been made in Ajman University's delivery of its academic courses or programs in order to accommodate the shortened duration of a course or program;
2. students in courses offered through intensive modes of delivery have comparable duration of class contact time, and comparable expectations for out-of-class study time, as in the same courses offered during the regular semester or term;
3. students have sufficient time for preparation, reflection, analysis, assessment, and the achievement of course learning outcomes.
4. the full content of the approved syllabi will be taught during the condensed period including the assignments and assessment schemes with the same rigor and standards as in the course given in a regular semester;
5. the course study plan is such that the learning outcomes of the courses and programs can reasonably be achieved by all enrolled students; and
6. all student services such as library access and support, IT laboratories and IT support, catering, health services, and recreational facilities shall be available during the shortened term.

Given the considerations listed in (3) above, some courses would not be suitable for an intensive mode of delivery, for example internships and major student projects.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/03/2013	Initial policy	Academic and Educational Affairs Council
V 1.1	08/09/2019	Minor amendments as per CAA new standard	Vice Chancellor for Academic Affairs

D. Faculty and Professional Staff

جامعة عجمان
AJMAN UNIVERSITY

Faculty and Professional Staff Role Policy

Policy Owner(s)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of Human Resources
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Aug. 2020

Purpose

This policy sets forth the rights and responsibilities of faculty members at Ajman University by identifying the role and responsibilities of the faculty which extends beyond academic affairs, to an active participation in service (community, students, and University) and the development of the University. The policy also defines the role and responsibilities of the professional staff in the University.

Faculty Role and Responsibility

Faculty Role:

Faculty members are responsible for developing, evaluating, and periodically updating all educational programs offered by the University. In every College, committees comprising of faculty members analyze the feedback received from various sources and accordingly revise and update the courses and curriculum. The same applies to the development of laboratories, training programs, and other related aspects of an academic program. For every program, a faculty member is assigned as the Program Coordinator who has the overall responsibility of program coordination, curriculum development, assessment and updating.

Faculty Responsibilities:

The primary responsibility of faculty members is to teach, conduct research, acquire skills through ongoing training, and take part in service which includes a) department, college and university service, b) academic and professional activities outside AU, and c) contribution to students' co-curricular activities. Other responsibilities, as stipulated in the contract, relate to professional development, institutional confidentiality, professional ethics, as well as responsibilities towards the development of their Department, College and the University.

- Teaching:

  Faculty members are required to:

  - Teach AU students in classes and in laboratories (as applicable).
  - Establish course policies and requirements.
  - Establish clear grading standards, in order to fairly evaluate students based on their academic performance.
  - Advise students on an ongoing basis outside regularly scheduled classes.
  - Supervise graduation (capstone) projects.

- Supervise students' research projects, such as term papers and practical works, within the rules and regulations of the Department, College and University.
- Maintain professional demeanor within and outside the classroom.
- Adhere to the University administrative policies and procedures on issues related to exams, incompletes, withdrawals, drop-adds, and so on.

➢ Research

Ajman University (AU) considers research an essential activity in the production and dissemination of knowledge. AU faculty members are encouraged to devote a reasonable amount of time and effort to scholarly research in order to maintain academic competence and development of students' education.

The following is a description of what constitutes "academic research":

- Studies and works that can be published in books, journals and/or other means.
- Individual or group research to be published and/or presented in academic conferences or seminars.
- Research aiming at developing teaching skills and techniques.

AU shall support and facilitate cooperative joint research conducted in cooperation with public and private institutions. It shall also provide grants for research projects on university-wide competitive basis in accordance with its policies for internal funding. Furthermore, the University shall coordinate and assist faculty members to obtain research grants from external sources. For externally funded research projects, AU will provide support to the Principal Investigator in utilization of approved funds in accordance with specified procedures. The Principal Investigator will be responsible for managing the research funds, submitting the progress and final reports, and closing the account at the completion of the research project.

➢ Service

Service includes:

a. ***Service to the University:*** this includes administrative positions held, membership of committees at the department, college and university levels; recruiting of faculty and students, providing professional development workshops and training to faculty and staff; organizing conferences, serving in partner organizations boards, participating in fund raising campaigns, establishment of external connections and partnership etc..

b. ***Service to Students:*** Advising students, involvement in student clubs, mentoring and helping senior students in job placement and applications to graduate studies, providing research experience and other assistance for undergraduates, contributions to Ph.D. Masters' theses.

c. ***Service to Community:*** Presentation to community groups, writing articles for newspapers, media interviews, professional activities undertaken as a practitioner or a consultant, volunteering in community activities, serving in community boards and NGOs.

Services may include organizing short courses, national/international conferences, seminars and workshops, authoring articles for the general public and translations from and into Arabic, etc. Contributions might also include identifying industry needs and elaborating coherent training programs in their areas of expertise, as well as establishing a link for technical cooperation between AU and other institutions in specific areas of expertise.

Faculty members are expected to perform all the duties assigned to them. Any departure from a normal work schedule should receive prior approval from the Dean.

Other Responsibilities

Faculty members are expected to perform all the duties assigned to them to the best of their abilities. These duties may also be related to management and administration in the Department or College, working in different committees, and providing support to various student activities.

Role and Responsibilities of Professional Staff:

- The role of professional staff is to fully support faculty members in order to achieve the goals and objectives of every course that requires practical work or tutorials.
- They are responsible to develop the laboratories, workshops, studios, etc. under the guidance of the faculty and to maintain these in good order.
- They shall contribute to developing the practical skills of students in laboratories, workshops, clinics, and studios (as applicable).

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	Human Resources Department
V 2.0	03/09/2017	Major review – new defined faculty role, new defined responsibilities toward research and service.	Vice Chancellor for Academic Affairs

Employment Policy

Policy Owner(s)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of Human Resources
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May. 2017
		Next Review Date	Jun. 2020

Purpose

This policy sets forth to ensure that only qualified and competent faculty members with the required qualifications and experience are hired by the University. It defines the academic ranks of faculty members, and ensure that part-time faculty members have the same qualifications as full-time faculty members. Furthermore, it specifies terms of contract including its renewal and termination, and it restricts the proportion of part-time faculty members.

Statement

AU employment policies are designed to ensure that qualified and competent faculty members with the required qualifications and experience are hired for all vacant or newly created positions. Faculty members are assigned academic ranks in accordance with their qualifications, experience, and scholarly work. Their terms of contract are defined and appropriate procedures are followed for their periodic evaluation and professional development. Proportion of part-time faculty members is restricted and they are required to have the same qualifications and scholarly preparation as full-time faculty members.

- AU does not discriminate on the basis of sex, race, religion, color, age, national origin, or marital status.
- AU prefers to employ faculty members from a variety of educational and cultural backgrounds who have obtained their terminal degrees from internationally recognized and broadly respected institutions and have contributed to, or demonstrated their potential for quality teaching, research and service to educational institutions and the community.
- The three main criteria used in the selection of new faculty members are as follows:
  - Teaching
  - Research
  - Outreach/ community engagement/ consultancy
- All faculty members employed by the University must be competent in spoken and written English. They must also be familiar with the credit hour system of higher education and able to work with students from a variety of backgrounds.
- All faculty members must be competent in the use of computers for teaching and research purposes. They must also be familiar with academic advising and be able to contribute to the development of courses and curricula.

- AU employs faculty members in the following academic ranks, as explained in detail in the Faculty Handbook:
  - Professor
  - Associate Professor
  - Assistant Professor
  - Lecturer
- Part-time faculty may be employed in accordance with the ratio of part-time to total faculty (maximum 25%) and the teaching load regulations specified by the Ministry of Education (up to 6 credit hours per part-time faculty member). Their employment is subject to the same requirements of professional competence and experience as their full-time counterparts. Furthermore, their employment is for specified courses and for a specific semester and is not a continuing appointment.
- Faculty members who do not hold the terminal degree shall be appointed only as lecturers or instructors and not at professorial ranks.
- The employment contract is for a period of two years and is renewable as per University regulations.
- The contract specifies conditions (academic or moral violations and misconduct) that may result in the termination of the faculty member's contract. These conditions are explained in detail in the Faculty Handbook. The faculty member will be given the opportunity to present his/her case before a final decision is taken about the termination of the contract.
- The faculty member is bound to abide by the published policies, rules, and procedures stipulated by the University. He/she shall honestly, diligently, and to the best of his/her abilities carry out assigned duties under the contract. These duties include attending scheduled teaching sessions and meetings (classroom and/or laboratory), academic advising, conducting examinations, carrying out research, offering expertise, and contributing in students training.
- The faculty member shall not accept any other professional appointment or consultancy work outside AU without prior approval from the University.
- The faculty member shall abide by the confidentiality regulations of the University and strive for professional development on a regular basis.
- The faculty member is entitled to the remuneration package mentioned in his/her contract along with specified annual increments. The package includes Basic Salary, Experience Allowance, University Allowance, Transportation Allowance, Furniture Allowance, Housing Allowance, Tuition Fee Allowance, Rare Specialization Allowance (as applicable), and Annual Tickets for travel by air. The University also provides health insurance for all faculty members. In addition, the faculty member is entitled to End of Service Gratuity (one-month basic salary for every year of service at the University).
- The faculty member is entitled to annual leave, sick leave, and maternity leave as per University regulations specified in the contract.
- The evaluation policy and procedures adopted by AU ensure thorough appraisal of each faculty member at the selection stage, for renewal of contract, and for promotion in the academic rank.

The detailed procedure and criteria used for evaluation of faculty members are explained in the Faculty Handbook.

- AU recognizes that its faculty members are its most valuable resource and that their competence, commitment, and capacity to change are fundamental to the successful achievement of its mission. Accordingly, AU provides opportunities for individual faculty to:
  - Improve teaching effectiveness.
  - Enhance current academic and technical knowledge and skills.
  - Develop computer and technological proficiency skills.
  - Pursue research and creative projects.
  - Exchange information and ideas.
  - Develop innovative and effective instructional and administrative techniques.
  - Attend academic conferences, professional meetings and engage in research activities both inside and outside the UAE.
- New faculty members will receive a proper orientation about the University policies, philosophy, and work ethics as well as their rights and responsibilities.

Employment Procedure

1. The Dean is expected to submit to the Vice-Chancellor for Academic Affairs the faculty hiring plan one academic year ahead. For instance, hiring plan for Fall 2018 should be submitted in Fall 2017.
2. The faculty-hiring plan should indicate the following:
   a. Detailed specialization request.
   b. Verification of the requested specialization.
   c. Confirmation of slot availability.
   d. A clear strategic plan for the requested, highlighting how the candidate fits into the long-term plan of the department/college/university.
3. The approval of the new faculty slots would be based on budget availability, real need for the requested position, and how the position fits within the strategic plan of AU.
4. The Representative from the Office of the Vice-Chancellor for Academic Affairs would prepare an advertisement for the available opening.
5. The Representative from the Office of Vice-Chancellor for Academic Affairs handles the advertisement of the new slot on the University website and renowned international outlets for the specific specialization, which shall be determined by the dean, in consultation with the head of the department.
6. The advertisement should be kept for at least one month before starting the screening process.
7. Applicants should submit the following documents online:
   a. Letter of intent.

b. Detailed CV including full publication list.
c. Information form.
d. At least three reference letters.
e. Any other relevant supporting documents.

8. The Representative from the Office of the Vice-Chancellor for Academic Affairs shall send all applications to the dean.
9. A "Search Committee" will screen the applicants and must have the following composition:
    - The committee shall be headed by the Dean or the head of the department to which the candidate will be appointed.
    - Two faculty members, with one of the faculty members from outside the department.
    - Two faculty members from other colleges.
    - A representative from the Office of the Vice-Chancellor for Academic Affairs.

10. Shortlisted candidates would be interviewed by the "Search Committee."
11. Candidates living abroad can be interviewed remotely.
12. The main criteria for evaluating candidates are:

a. Research record with a special focus on:
    - Research area and to what extent it fits the announced position.
    - Publications and creative work with a special attention for publications in high impact factor journals.
    - Amount of external funds secured by the candidate.
    - Research presentations, especially presentations delivered by the candidates at prestigious meetings.
    - International collaboration.

b. Teaching record taking into consideration:
    - Teaching philosophy.
    - Course diversity.
    - Graduate student supervision.
    - Student evaluation.
    - Development of new courses and labs.
    - Introduction of novel teaching pedagogies.
    - Service to the university including administrative duties, participating in committees, etc.
    - Professional service, including organizing conferences, serving on committees of international conferences, conducting review for international journals, etc.

13. If short listed candidates do not fulfill the above criteria, the advertisement would be re-announced until suitable candidates are available.
14. The "Search Committee" shall submit to the Dean the following documents:
    a. CV of the short listed candidate.
    b. Information form.
    c. Reference letters.
    d. Committee report including the following items:
        - Verification for the requested position.
        - How the candidate fits into the specific slot and AU strategic plan.
        - Summary of the candidate's credentials, with specific comments on items mentioned in item 12 above.
        - The strong and weak points of the candidate.
        - Committee recommendations.

The Dean makes a recommendation to the Vice-Chancellor for Academic Affairs including negotiated salary with the candidate. It is the policy of Ajman University to ensure that all legal issues are covered for the employment of faculty members and staff.

The Representative from the Office of the Vice-Chancellor for Academic Affairs issues a contract for the selected faculty. The contract shall be signed by the Chancellor.

Faculty salaries are confidential and the Dean should consult with the Vice Chancellor for Academic Affairs on the appropriate salary.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	20/02/2013	Reviewed – no change incorporated	Human Resources Department
V 2.0	25/05/2017	Major change to employment procedure/ teaching criteria/part-time employment requirement/ contract duration	Human Resources Manager

Faculty Development Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Feb. 2018
		Next Review Date	Jun. 2020

Ajman University Faculty development aims to enhance and support excellence in academic practice and offers many opportunities for faculty to collectively and individually fulfill their responsibility to improve instructional effectiveness. AU provides ongoing support to staff professional development by encouraging their participation in academic conferences, technology training, professional meetings, and engage in research activities both inside and outside the UAE.

Introduction

Aware that faculty development is tantamount to institutional development, Ajman University (AU) has always endeavored to provide the best training opportunities and resources to its faculty. This policy is aligned with AU vision and objectives, mainly:

- To achieve academic excellence.
- To encourage faculty to meet what is termed the three main criteria: teaching, training, and service.
- To endow faculty with the kind of skills that make students' learning an enjoyable experience and allow them to develop both intellectually and individually.

Accordingly, AU has set up a faculty development program whereby faculty members are trained so as to develop at the personal and professional levels, to become highly motivated, and to be able to perform at the highest possible levels. The faculty development program of AU tries to ensure that:

- Each faculty member understands the duties and responsibilities incumbent upon him/her.
- Each faculty member is trained to fulfill his/her duties and responsibilities according to the standards set by the University.
- Each faculty member is given the opportunity to develop his/her potential whether personally or professionally.
- Faculty members get the necessary help and information to develop their performance and effectiveness.
- Appropriate faculty development activities and mechanisms are provided.

Faculty Development Objectives

Faculty development aims at achieving the following objectives:

- To improve the quality of teaching and research at AU.
- To provide quality service based on the concepts of equal opportunities.

- To enable the University to determine the implications on faculty development of changes in higher education and of the Ministry of Higher Education's requirements, and to respond to these changes.
- To respond to guidelines from the University as well as to the recommendations of the Ministry of Higher Education.

Faculty Development Scheme

To achieve the above objectives, AU offers, through its faculty development program, a wide range of activities and opportunities to all faculty members. These include presenting approach seminars, offering tailored workshops and courses, providing training in particular issues and subject matters for particular purposes, and providing necessary financial help.

Seminars

Seminars are one of the main aspects of faculty development at AU, since they are meant to create a dynamic academic environment conducive to research and creativity. Held every academic year by faculty members from each of the eight Colleges at the University, these seminars deal with specialized subject matters. They are an excellent research opportunity for faculty who are required to research the subject matter extensively and present it in an accessible manner, since the seminars are addressing both specialized and non-specialized audiences from inside and outside the University.

Workshops, Courses and Training

AU intends to provide, through the Curricula and Study Plans Committee, tailored workshops and training courses to its faculty members. The topics of the workshops and courses depend on the needs of each College, as identified by the said committee and by external reviewers participating in the external review scheme, otherwise known as the "Examining Eye" or External Reviewer Program.

So far, AU has run workshops on how to draft a sophisticated course description as per the highest standards in American universities, and on developing new teaching and evaluation models. The University is planning to offer all faculty members technology workshops to enable them to have a hands-on experience on how to effectively and efficiently use technology in the teaching process, including computers, specific software, the internet, and on-line learning systems.

Regulations for Participation in Academic Conferences

- Ajman University (AU) gives due importance to professional development of faculty. They are encouraged to participate in high-quality academic conferences and to publish their research work in professional journals as well as in well-recognized conferences. Faculty members' participation will help faculty members keep abreast of the latest academic and scientific development, in addition to providing the opportunity to exchange information and knowledge with their peers academicians and researchers.

- Faculty members interested in presenting their papers at research conferences shall submit their request to their Head of Department (HOD). The HOD shall form an ad-hoc committee to review the paper and give its recommendation, along with a brief review report, considering the quality of the submitted paper and the reputation of the conference. The HOD shall present the paper along with the review report and recommendation of the ad-hoc committee in the next Departmental Council meeting. The HOD will then submit the participation request to the College Dean along with the recommendation of the Departmental Council and the review report of the ad-hoc committee.

- The Dean shall present the participation request, the review report, and the recommendation of the Departmental Council in the next College Council meeting. After getting the recommendation of the College Council, the Dean will submit the request to the Deanship of Graduate Studies and Research. The submission shall include the following:
  - A completed application form for participation in a conference.
  - Proof of paper acceptance from the conference organizer.
  - A copy of the accepted research paper.
  - Review report of the ad-hoc committee.
  - Recommendation of the College Council.

- The applicant shall have completed at least one year at the University as full-time faculty before applying for approval to be funded for presenting a paper in a conference. However, in exceptional cases, the Dean may recommend an applicant who has not yet served AU for one complete year.

- An applicant may not be funded to present a research paper in a conference that is held outside UAE more than once in an academic year. However, in very special cases, the Dean may recommend a faculty member to participate twice per academic year provided that sufficient budget is available for other eligible applicants to avail at least one participation per academic year.

- A faculty member may also be permitted to attend a conference more than once in an academic year if he/she is invited as a keynote speaker and his/her expenses are totally borne by the conference organizers, provided the approval is obtained from the HOD, College Dean, and the Dean of Graduate Studies and Research.

- Requests for attendance-only participation (without the submission of a research paper or keynote speech) or participation in some professional events, workshops, etc. shall be submitted by the College Dean to the AU Delegation Committee, headed by the Vice-Chancellor for Advancement and Communication, for its approval.

- The HOD and Dean shall emphasize on the quality of participation and shall perform an assessment of the quality of participation based on a report submitted by the participant after attending the conference.

- The funding approved for presentation of a research paper shall cover the following:
  - A return airfare ticket from the UAE to the conference host country.
  - Conference registration fee.
  - Visa fee, if paid by the participant.

- Daily expenses for the duration of the conference. Funding covers up to three conference days in addition to two travel days (departure and arrival).

➢ The rules for participation of faculty in academic conferences (international or national) have been elaborated in the “Policy on Research Conferences”.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	14/02/2018	Major changes to regulations for participation, attendance of workshops and seminars	Vice Chancellor for Academic Affairs

Faculty Performance Evaluation Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCCA
Approved By	Chancellor	Effective Date	Feb. 2019
		Next Review Date	Jun. 2022

Ajman University provides for regular and systematic evaluation of faculty performance in order to ensure academic effectiveness. In accordance with the faculty contract agreement, the criteria for reappointment and promotion include evaluation of faculty effectiveness in teaching, research, and professional service.

Faculty Self-Assessment Report (FSAR) - *(View Appendix 1)*

Faculty members are required to complete the Faculty Self-Assessment Report (FSAR) at least two months before the end of the academic year (exact date will be included in the academic calendar). The FSAR, which is used as a tool for faculty self-assessment and development by compiling faculty members' teaching activities, research, professional, creative and service endeavors and future plans. More precisely, the FSAR is intended to:

- Highlight the faculty accomplishments and contributions for the current academic year.
- To be used as a basis for a yearly performance appraisal, and to assess the extent to which the faculty fulfils his/her job requirements.

Faculty Annual Performance Review - *(View Appendix 2)*

As per the University's commitment to faculty development and mentoring, and in order to achieve its expectations, processes for mentoring and evaluating individual faculty members are imperative to the development of our faculty members. The University continuously provides constructive feedback to its faculty through various channels. More precisely, the purpose of faculty performance review is to:

a. Provide all full time faculty with timely information regarding the extent to which they are meeting the college and university expectations of performance.
b. Identify aspects of a faculty member's performance that may need further development.
c. Provide a foundation for discussions of performance between the faculty member, the head of Department and the Dean.
d. Help faculty members to plan appropriate and relevant faculty development programs.
e. Help in planning performance-related rewarded and recognition programs for deserving faculty members.
f. Help determine faculty member eligibility for contact renewal.

Feedback and Evaluation Reports

In addition to the Faculty Self-Assessment Report (FSAR), the faculty performance appraisal will include:

- Students' course evaluation feedback.
- Students' evaluation of advising.
- Any other material provided by the faculty member, the Head of Department or the Dean, which could help in evaluation.
- Where appropriate, Peer Review reports.

Faculty Annual Performance Review Criteria - *(view Appendix 2)*

Faculty performance appraisal is based on three criteria, which are Teaching, Research, and Service (service to the university, service to students, and service to community).

Evaluation of the Teaching Criteria

Teaching is the core obligation of the faculty member. The Faculty member must describe his/her achievements and contributions in the following aspects of teaching activity at both graduate and undergraduate levels.

a. Sound course design and delivery, appropriateness of course structure, thorough and current command of the subject matter, appropriate teaching techniques and methodologies, consistency with courses and program learning outcomes.
b. New program/course developed, course syllabi and content updating to incorporate advances in the discipline, currency of course teaching materials and approach, etc.
c. Use of technology and participant-centered techniques to enhance learning.
d. Adoption and promotion of active/self-learning including class activities and assignments that develop students deep knowledge, skills and competencies.
e. Design of appropriate and relevant student's assessment tools including examination questions, projects, case studies, assignments, reports, essays, presentations, etc.
f. Respect of students, effective response to student questions, timely evaluation of tests and assignments and provision of feedback to students, etc.
g. Supervision of undergraduate student's projects and Master and Ph.D. theses and dissertations.

Evaluation of the Research Criteria

Ajman University expects high quality research and scholarly contributions from each faculty member. The Faculty member should describe his/her achievements and contributions in the following aspects of research and scholarly activity:

a. Creative work and publications: this includes publications (published, accepted or submitted) in refereed journals, publication of books, chapters of book, monographs, and publications in refereed conference proceedings.
b. Editorial board membership, membership of conference organizing committees,

c. refereeing of academic articles, citations of published papers, presentations at conferences, etc.
d. Supervision and examination of postgraduate students (Master and Doctoral theses) within and outside AU.
e. Research projects development, and internal and external research grants.

Evaluation of the Service Criteria

a. ***Service to the University:*** this includes administrative positions held, membership of committees at the department, college and university levels; recruiting of faculty and students, providing professional development workshops and training to faculty and staff; organizing conferences, serving in partner organizations boards, participating in fund raising campaigns, establishment of external connections and partnership etc..
b. ***Service to Students:*** Advising students, involvement in student clubs, mentoring and helping senior students in job placement and applications to graduate studies, providing research experience and other assistance for undergraduates, contributions to Ph.D. Masters' theses.
c. ***Service to Community:*** Presentation to community groups, writing articles for newspapers, media interviews, professional activities undertaken as a practitioner or a consultant, volunteering in community activities, serving in community boards and NGOs.

All colleges are required to implement the guidelines of the faculty performance review policy. However, some flexibility will be granted to departments and colleges to accommodate their own specific requirements in their faculty performance appraisal. However, the weight of teaching in the overall faculty performance appraisal should not be less than 40% and the weights of Research and Service should not be less than 20% each.

Overall Performance Review of the Faculty Member

The performance of faculty members in each of the three components will be rated as ***Excellent* (5 points)**, ***Very Good* (4 points)**, ***Good* (3 points)**, ***Satisfactory* (2 points)** and ***Unsatisfactory* (0 points)** based on the *Evaluation Criteria* defined in Appendix2.

Faculty Performance Review Process

- A faculty review committee is formed at the College level to coordinate and supervise the evaluation of faculty members' performance. The Committee shall, in particular decides on:
    - The relative weight of teaching, research and service activities for faculty performance appraisal.
    - Review marks distribution within each of the three review criteria (Teaching, Research, Service) proposed by each Head of Departments.
- The Review Committee is composed of the College Dean (chair) and Heads of Departments/Units (Members) and one external member from a different college (Observer).
- It is the responsibility of the Head of Department to complete the Evaluation Form and append it to the Faculty Self-Assessment Report (FSAR). The scoring will be shared with the faculty

member. If the latter disagrees with the evaluation proposed by the Head of the Department and believes that it does not adequately reflect his/her performance, the case will be referred to the Review Committee.

- The faculty member is required to sign the Annual Faculty Report and the Evaluation Form to acknowledge receiving the decision of the Review Committee. In case he/she disagrees with the assessment, he/she may append a written statement or follow the grievance procedure.
- The Dean shall submit the performance evaluation results and the final recommendations of the Review Committee to the Vice-Chancellor for Academic Affairs for approval.

Appendix 1
Faculty Self-Assessment Report (FSAR)

Personal Information

Name .....

Academic rank .....

Department .....

College .....

Joining date .....

Title.....

Important notes

- As per AU policy, the assessment of faculty performance is based on Teaching, Research and Service.
- The main purpose of the Faculty Self-Assessment Report (FSAR) is to provide the basis for a yearly performance appraisal.
- It is mandatory for all faculty to complete this Faculty Self-Assessment Report (FSAR).
- The faculty member must ensure that all available evidence of his performance is submitted with this

  Report (updated CV, Course description for all courses taught, samples of teaching material, publications, service to AU and Community, and other appropriate documentation).
- The Faculty member is advised to read AU policy on faculty members' performance review.

I. Teaching

One of the most important factors in the teaching evaluation of faculty members is Course Files that shall also include the ICARs: Instructor Course Assessment Reports ***(see Appendix 3).*** All faculty members are required to submit Course Files for all courses taught by them in the past two semesters. In addition, the faculty member must describe his/her achievements and contributions in the following aspects of teaching activity at both graduate and undergraduate levels.

I.1 Courses taught

Spring Semester 20--/20--

Semester	Course ID	Course Title	No. of Students

Fall Semester 20--/20--

Semester	Course ID	Course Title	No. of Students

I.2 Contribution in course design and delivery

I.3 Contribution in program/curriculum development

I.4 Use of technology and modern methodologies to enhance teaching

I.5 Supervision of undergraduate students' graduation projects and/or graduate theses and dissertations (Master and PhD)

I.6 Other teaching accomplishments and contributions

II. Research

The faculty member should describe his/her achievements and contributions in the following aspects of research activity.

II.1 Articles/Papers (published, accepted or submitted) in refereed journals and/or creative work

II.2 Articles/Papers (published, accepted or submitted) in refereed conference proceedings

II.3 Books/Chapters of book (published, accepted or submitted)

II.4 Supervision and Examining of postgraduate theses and dissertations (Master or Doctoral)

II.5 Research projects, and internal and external research grants

II.6 Other research accomplishments and contributions

III. Service

The faculty member should describe his/her service contributions, which include service to the University, service to the profession and service to the community.

III.1 Administrative positions held and membership of department, college and university committees

III.2 External connections and partnership, fund raising campaigns, etc..

III.3 Students' advising and career counselling

III.4 Involvement in student co-curricular activities

III.5 Contributions to AU visibility through local and international media channels

III.6 Professional activities undertaken as a practitioner or consultant

III.7 Volunteer work for local community serving on community and professional boards

III.8 Other services that provide recognition to the University

Faculty member comments

Signature of Faculty Member: **Date:**

(Your signature does not necessarily indicate that you are in agreement with the evaluation. Your signature only indicates that you have had the opportunity to review the evaluation and that you have discussed the content with your supervisor. You reserve the right to submit a written rebuttal of this evaluation to the dean within ten working days of this date).

Head of Department Comments:

Signature of Head of Department **Date:**

Dean/Chair of Review Committee Comments:

Signature of the Dean/Chair of Review Committee: **Date:**

Signature of Vice-Chancellor for Academic Affairs: **Date:**

Comments of Vice-Chancellor for Academic Affairs (in case he does not agree with the assessment of the Dean):

Appendix 2

FACULTY ANNUAL PERFORMANCE EVALUATION

Purpose

In line with Ajman University's commitment to faculty development and mentoring, and in order to achieve its expectations and processes for faculty mentoring and evaluation, the University continuously provides constructive feedback to its faculty through various channels. More precisely, the purpose of faculty performance review is to:

a. Provide all full time faculty with timely information regarding the extent to which they are meeting the college and university expectations of academic performance.
b. Identify aspects of a faculty member's performance that may need further development.
c. Provide a framework to guide performance-related discussions between the faculty member, the Head of Department and the Dean.
d. Help faculty members to plan appropriate and relevant faculty development programs.
e. Help in planning performance-related reward and recognition programs for deserving faculty members.
f. Help determine faculty member eligibility for contact renewal.

Process Outline

- The faculty fills the form expressing a set of objectives for the academic year
- Faculty and HOD discuss the objectives, agree on the outcomes of three components - teaching, research and services - and decide on the appropriate weight for each component
- By the end of the academic year the HOD will have compiled, alongside faculty's self-assessment report (FSAR), all data related to the three components
- The HOD grades the three components and discusses results with the faculty who then approves and signs it, or appeals it before the dean

FACULTY MEMBER'S OBJECTIVES *(To be set at the beginning of the Review period)*

No.	Smart Objectives
1	Teaching Objectives:
2	Research Objectives:
3	Services Objectives:

Guidelines

The evaluation criteria given below is for faculty members holding terminal degrees. The evaluation is based on performance in three categories; teaching, research, and services. Teaching weight should be between 40% and 60% while Research weight should be at least 30% of the final evaluation rating in line with AU policy. This percentage may vary in order to accommodate specific University, College, and Departmental needs. In such cases, an amended weighting will be determined during the goal-setting meeting at the beginning of the academic year between the faculty member and the HOD. A typical distribution of the weights is 50%, 30% and 20%, for Teaching, Research, and Services, respectively.

A Faculty Member who joins the University after the start of the academic year should meet with their HOD at the beginning of the joining semester to reach an understanding about the percentage that will apply.

For Classroom/Lab courses, the availability and quality of the course file, instructor course assessment report, student evaluations and peer review of teaching shall be the basis of evaluation for Teaching. Any other evidence used must be made known to the faculty member.

The performance of faculty members in each of the three components will be rated as ***Excellent*** **(5 points)**, ***Very Good*** **(4 points)**, ***Good*** **(3 points)**, ***Satisfactory*** **(2 points)** and ***Unsatisfactory*** **(0 points)** based on the *Evaluation Criteria* defined in the tables below.

The overall score (out of 5) of the faculty performance is calculated as the weighted average of the ratings of the three components, as follows:

$$Overall_score = \text{Teaching_rating} * \text{Teaching_weight} + \text{Research_rating} * \text{Research_weight} + \text{Services_rating} * \text{Services_weight}$$

If any of the components is rated Unsatisfactory then the above formula does not apply and $Overall_score$ is set to 0.

As an illustration, if the weights and ratings of a faculty member are as follows:

Component	Teaching	Research	Services
Weight	50%	30%	20%
Rating	Very Good (4)	Very Good (4)	Excellent (5)

Overall_score = 4*0.5 + 4*0.3 + 5*0.2 = 4.2 (**Very Good**)

The overall rating is determined as follows:

Unsatisfactory: if any of the three components is rated Unsatisfactory

Satisfactory: if $2.0 \leq Overall_score < 3.0$

Good: if $3.0 \leq Overall_score < 4.0$

Very Good: if $4.0 \leq Overall_score < 4.5$ **AND** Research rating is at least Good*

Excellent: if $overall_score \geq 4.5$ **AND** Research rating is at least Very Good**

* If the Research rating condition is not satisfied then the overall rating is Good.

** If the Research rating condition is not satisfied the then the overall rating is Very Good.

EVALUATION CRITERIA

TEACHING

Evaluation Weighting: Teaching will count as [ ]% *(HOD to complete)* of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.)*

Rating	Criteria
1: Unsatisfactory	A faculty member who fails to meet the criteria for satisfactory teaching. Indicators for this rating include the following: a. Faculty member does not provide feedback for examinations and other coursework in a timely manner b. Faculty member is not regularly available to students at posted office hours. c. Faculty member does not provide instructor course assessment report(s) and course file(s) in a timely manner d. Faculty member obtains student evaluations consistently below department/college averages
2: Satisfactory	A faculty member who meets minimum teaching expectations. A faculty member who earns a satisfactory rating in teaching (slightly below the college average) is expected to achieve all of the following: a. Meet the class at scheduled times unless there are extenuating circumstances b. Available in his/her office during posted office hours unless there is an unavoidable conflict c. Prepare examination questions and other coursework that appropriately cover CLOs d. Provide timely feedback for examinations and other coursework e. Effectively coordinate with other colleagues involved in team teaching a course or multiple sections of a course f. Effectively manage clinical teaching duties and control clinical activities g. Prepare and submit instructor course assessment report(s) and course file(s) of the course(s) taught in a timely manner

3: Good	A faculty member who performs above satisfactory levels. The faculty member consistently strives to foster a positive learning environment. The faculty member obtains student evaluations that are equal or better than the college average The faculty member meets the criteria for satisfactory teaching, and additionally meets any three of the following: a. Effectively supervise student dissertations/theses (where applicable) b. Readily available to students at times other than university mandated office hours for discussion and counseling. c. Show evidence of continuous improvement of the content and delivery of all courses taught d. Adjudged in his/her peer review of teaching to be an excellent teacher e. Effectively coordinate with adjunct faculty, at HOD request, to ensure that the latter meets teaching requirements. f. Verifiably try new pedagogical methods and technologies g. Actively participate in at least one faculty development initiative focused on teaching and learning h. Develop and/or successfully deliver a new program or course in support of the department or college mission i. Share teaching best practices from conferences or workshops with faculty colleagues j. Actively participate in interdisciplinary/interdepartmental curriculum integration k. Mentor new and/or junior faculty l. Actively participate in program, college or university accreditation efforts
4: Very Good	A faculty member who is verifiably recognized by students and his/her line manager as a very good teacher. a. The faculty member consistently obtains student evaluations above the college averages. b. The faculty member meets the criteria for satisfactory teaching, and additionally meets any five of the “good” criteria.
5: Excellent	A faculty member who is clearly excellent in the classroom compared with his/her colleagues. The faculty member consistently obtains student evaluations that are significantly higher than college and department averages in all the courses he/she teaches. The faculty member meets the criteria for satisfactory teaching, and additionally meets at least seven of the “Good” criteria.

HOD Rating and Comments on Teaching:

☐*Excellent* ☐*Very Good* ☐*Good* ☐*Satisfactory* ☐*Unsatisfactory*

Comments:

RESEARCH

Evaluation Weighting: Research will count as [ ]% *(HOD to complete)* of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.)*

Rating	Criteria
1: Unsatisfactory	• No significant scholarly production during this year and last academic year; i.e. not meeting the "Satisfactory" rating requirements below.
2: Satisfactory	• **One accepted/published paper or case study in a C journal, as classified in AU Guidelines for Research Publications, during this and the last academic year** OR • **Publication of a full paper in Scopus indexed conference proceedings during the academic year.** OR • **One refereed creative work or exhibit during the academic year** as listed in the following List of Creative Outputs OR ***TWO of the Following* during the academic year:** • Presentation of a paper in an approved conference (based on an Abstract). • Significant development of a research project as attested by the College Research Committee • Approval of internal research grant. • Publication of a book or a book chapter with a reputed publisher. • Approval of internal research travel grant.

3: Good	• **One accepted/published paper or case study in a B journal, as classified in AU Guidelines for Research Publications, during the academic year** OR • **One refereed creative work or exhibit during the academic year** as listed in the following List of Creative Outputs AND ***One of the Following*** **during the academic year:** • Publication of a full paper in Scopus indexed conference proceeding. • Publication of editorials or research comments in professional or academic publication. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant. • Approval of internal research travel grant.
4: Very Good	• **One accepted/published paper or case study in an A journal, as classified in AU Guidelines for Research Publications, during the academic year** OR • **Major refereed creative work or exhibit of national importance during the academic year** as listed in the List of Creative Outputs**.** AND ***One of the Following*** **during the academic year:** • Publication of a full paper in Scopus indexed conference proceeding. • Co-investigator or PI on an external research grant. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant • Approval of an internal research travel grant

5: Excellent	• **Two accepted/published papers or case studies in A journal, as classified in AU Guidelines for Research Publications, during the academic year** OR • **One accepted/published paper or case study in an A* journal, as classified in AU Guidelines for Research Publications, during the academic year** OR • One major refereed creative work or exhibit of international importance during the academic year as listed in the following List of Creative Outputs AND One of the Following during the academic year: • Publication of a full paper in Scopus indexed conference proceeding. • Co-investigator or PI on an external research grant. • Publication of a book or a book chapter with a reputed publisher, as per criteria outlined in AU Guidelines for Research Publications. • Approval of internal research grant. • Approval of internal research travel grant.

*Note:

1. "Scholarly books" exclude text books used for teaching purposes or practitioners books. The focus is on books that contribute to research. Practitioner books and text books should be included under "Service".
2. Creative works or exhibits are specific to the fields of Architecture, Art and Design only.
3. Creative works or exhibits of international importance: Where it is clear that the particular creative works have impact on international level, or where fellow practitioners independently accredit the creative works as of high quality through formal documented process or significant award or honor.
4. "Significant development of a research project" should be attested (with a justified evidence) as such by the Head of the College Research Committee.
5. Any accepted/published paper or case study in an approved and indexed peer reviewed journal with a minimum Scopus ranking of Q4, or at least C ranking on ABDC may be counted as a full paper in Scopus indexed conference proceeding.
6. Accepted/published papers or case studies in Arabic journals that are not Scopus-indexed will only be accepted if they are listed in the Arabic journal classification list approved by the University.

List of Creative Outputs

1. Creative work that won national or international architecture, art and design competitions (1st, 2nd or 3rd prize).
2. Design of innovative furniture or other industrial products.
3. Certificate of patent/invention related to architecture, art and design.
4. Creative and innovative design work, such as villas, hotels, malls, shops, coffee shops and restaurants.
5. Demonstrated original art or design exhibitions at national or international level in authorized galleries, museums, governmental or private well-recognized organizations and national or international exhibitions.
6. Completion of architectural project including letter from consultancy or client. Project size and complexity must be part of referees' input.
7. Renovation and restoration of old or historic buildings.
8. Specialized work such as sustainability, feasibility, shading, acoustics or lighting

HOD Rating and Comments on Research:

☐*Excellent* ☐*Very Good* ☐*Good* ☐*Satisfactory* ☐*Unsatisfactory*

Comments:

SERVICES

Evaluation Weighting: Services will count as [ ]% *(HOD to complete)* of the overall performance rating. (*This is the percentage previously discussed with the Faculty Member.)*

Service: Faculty evaluation or appraisal in the service domain will be rated as needs improvement, satisfactory, good, very good or excellent. This rating will be objectively evaluated at the end of the academic year. The evaluation process will be based on a written report submitted by the faculty to the head of department supported by documented evidence of his/her performance and tasks accomplished.

Evaluation	Criteria
1: Unsatisfactory	• Not involved in any service activities to college or university. • There is no evidence of professional activity at this level. The faculty member does not meet many of the satisfactory level requirements for Service.
2: Satisfactory	A faculty member that fails to meet minimum expectations for service within the department and college can have their service evaluation reduced even if some higher-level service activities are present, unless otherwise information is provided to the Dean directly from the Chancellor or VCAA based on service assignments The minimum expectations for service include the following activities: a. Serving on college committees with a positive evaluation from the committee director or other approved alternative demonstrating regular attendance to meetings and contributing to the work and activities of the committees. b. Effective service on departmental /unit committees as rated by the chair of that committee c. Regular attendance at department and college meetings d. Being a member in a professional organization e. Providing assigned advisees with academic advising that is judged as effective by unit director (e.g. meeting with interested students and providing knowledgeable curricular advice)
3: Good	• In addition to meeting the minimum expectations for service, a significant level or number of professional or service activities can be used as evidence of satisfactory performance such as the following: **Professional Activity** a. Attendance at one professional meeting based on a specific invitation or nomination b. Participation in a professional development activity related to the Faculty Development Plan from the previous year. Professional activities are those activities, which contribute to the teaching and/or research capabilities of the faculty member. It must be a documented activity, which is approved by the unit chair.

	Community service a. Community service judged as significant by departmental chair/directors b. Effectively serving on one or more active University committees and/or College judged as being significant by unit chairs. c. Providing student advising judged as effective (meeting with a significant number of advisees and providing knowledgeable curricular advise) by unit director. d. Student placement or recruitment activity judged as significant by unit director. e. Serving as a session chair or serving in a voluntary capacity at a significant national or regional conference f. Effectively teaching an assigned overload course or regional campus g. One outside committee OR one admin job
4: Very Good	• In addition to meeting the minimum expectations of service, a significant level or number of activities such as those listed below can be used as evidence of above average performance. • A faculty member earning a very good in service will meet the minimum expectations for service and typically be engaged in some good level service activities: <u>Professional Activity</u> a. Participating in a faculty internship, or involvement in a project judged as significant by unit director b. Organizing a conference, workshop, session, or panel judged as significant by unit chairs/directors. c. Book and manuscript reviewing judged as significant by unit director d. Attendance at multiple professional conferences e. Holding an office or serving as a member on an active committee or board of a professional organization (i.e., the group met at least once during the year or that the position required some work) f. Effectively serving on the editorial board of a journal <u>Service Activity</u> a. Effectively chairing an active departmental committee or task force that is judged as significant by unit director b. Effectively leading a special departmental project judged as significant by the unit director c. Effectively serving as advisor to an active club or student organization as determined by the members of that club or student organization d. Alumni relations/fund-raising activity judged as significant by unit director e. Career advising efforts judged as significant by unit director f. Serving in a leadership role for student advising g. Participation on a department or university committee that required a significant amount of time and effort. h. Engaging in an above average number of unreported service activities (e.g. extra classes without compensation, etc. i. One university's Committee OR one outside committee and another admin job

5: Excellent	A significant level and number of professional or service activities listed below can be used as evidence of excellent performance. • A faculty member earning excellent in service will meet the minimum expectations for service and typically be engaged in some good and very good level service activities. • A faculty member earning excellent in service must also be engaged in some internal service activities for the department or college. Professional Activity a. Effectively serve as the editor or assistant editor of a peer-reviewed journal b. Organizing and successfully presenting a program c. Effectively serving as member in or chairing a significant university or national committee d. Effectively serving as a chair at a national or regional conference e. Organizing and successfully presenting a conference, workshop, session, or panel judged as outstanding by unit director. <u>Service</u> a. Effectively heading a college unit and submitting an annual report summarizing the activities and accomplishments of the unit. b. Effectively serving as advisor to a student organization where a significant time commitment is required: i.e., working with a student group on a major project as determined by the members of the student group c. Serving effectively as a program director without release time d. Effectively chairing an active university committee or task force e. Engaging in a significant number of unreported service activities (e.g. extra classes without compensation, etc.) f. Serving as a trained teaching mentor for a college faculty member. This level of mentoring would typically be characterized by a close working relationship between the mentor and mentee and require significant time and effort while engaged in a formal and rigorous teaching development process. g. Serving effectively in two or more university committees OR one committee and another admin job (must be specified) OR Community service (internal or external).

HOD Rating and Comments on Services:

☐*Excellent* ☐*Very Good* ☐*Good* ☐*Satisfactory* ☐*Unsatisfactory*

Comments:

Scores and Ratings by HOD:

Component	Teaching	Research	Services
Weight	xx %	yy %	zz %
Rating			
Overall	Score (out of 5)	Rating	

Final Scores and Ratings Approved By the Dean:

Component	Teaching	Research	Services
Weight	xx %	yy %	zz %
Rating			
Overall	Score (out of 5)	Rating	

Signature of Dean: _____ Date: _____

Signature of Faculty: _____ Date: _____

Appendix 3

Instructor Course Assessment Report (ICAR)

1. General Information

Instructor Name:	
Semester:	
Course Number:	**Course Name:**
Course Delivery Format (Theory, Lab, Tutorial): (2, 2, 3)	
Section Number: ☐ **Male** ☐ **Female** **Number of Students:**	
Average Mark for Section:	

2. Students' Perceptions

a. Students' Feedback with Respect to Course Related Issues

#	Question	Satisfaction Rate
Q1	*I had an adequate background for this subject.* *كانت لدي خلفية مناسبة عن هذا المساق.*	
Q2	*Coursework assignments and projects were helpful to understand the subject.* *كانت الأعمال الفصلية والمشاريع مفيدة لفهم هذا المساق.*	
Q3	*I found the course useful.* *كان المساق مفيداً لي.*	
Q4	*Textbook and references assigned to this course were appropriate and useful.* *كان الكتاب الدراسي والمراجع المخصصة للمساق مفيدة ومناسبة.*	

b. Students' Feedback with Respect to Course Instructor

#	Question	Satisfaction Rate
Q1	*The instructor presented the material well and clearly.* *قدّم أستاذ المساق المادة الدراسية بشكل جيد وواضح.*	

Q2	*The instructor was well-prepared for the lectures.* *كان الأستاذ مستعداً بشكل جيد للمحاضرة.*	
Q3	*The instructor started and ended the lectures on time and was regular.* *التزم الأستاذ بمواعيد بدء المحاضرات وانتهائها وكان مواظبا عليها.*	
Q4	*The instructor was available and helpful during posted office hours.* *كان الأستاذ حاضرا خلال الساعات المكتبية المعلنة.*	
Q5	*The instructor was fair in the evaluation of students' course work.* *كان أستاذ المساق منصفاً في تقييم الامتحانات والأعمال الفصلية.*	
Q6	*The lectures were given in only one language (English or Arabic).* *كانت المحاضرات تقدم بلغة واحدة (العربية أو الإنجليزية).*	
Q7	*The instructor identified the course learning outcomes clearly.* *شرح الأستاذ مخرجات المساق بأسلوب واضح.*	
Q8	*The instructor encouraged interaction with students, listened to them, and responded to their questions.* *كان الأستاذ يشجع على التفاعل في المحاضرة ويتجاوب مع أسئلة الطلبة.*	
Q9	*The instructor evaluated the students' work in a timely manner.* *قيّم الأستاذ أعمال الطلبة في الوقت المناسب.*	
Q10	*Overall, the instructor's performance in this course was excellent.* *بصورة عامة، كان أداء الأستاذ في هذا المساق ممتازاً.*	

c. Students' Feedback with Respect to Lab/Studio/Clinic Instructor (if available)

If the course does not include Lab/Studio/Clinic, please respond with N/A
N/Aإذا لم يتضمن المساق على معمل/عيادة/استوديو برجاء اختيار

#	Question	Satisfaction Rate
Q1	*The lab/studio/clinic instructor presented the practical material well and clearly.* *قدّم الأستاذ المادة العملية بشكل جيد وواضح.*	
Q2	*The instructor was well-prepared for the lab/studio/clinic sessions.* *كان الأستاذ مستعداً بشكل جيد للمختبر/العيادة/الأستوديو.*	
Q3	*The instructor started and ended the lab/studio/clinic on time and was regular.* *التزم الأستاذ بمواعيد بدء وانتهاء المختبر/العيادة/الأستوديو وكان مواظبا عليها.*	
Q4	*The instructor was fair in the evaluation of students' work in lab/studio/clinic.* *كان الأستاذ منصفا في تقييم الامتحانات والأعمال الفصلية للمختبر/العيادة/الأستوديو.*	

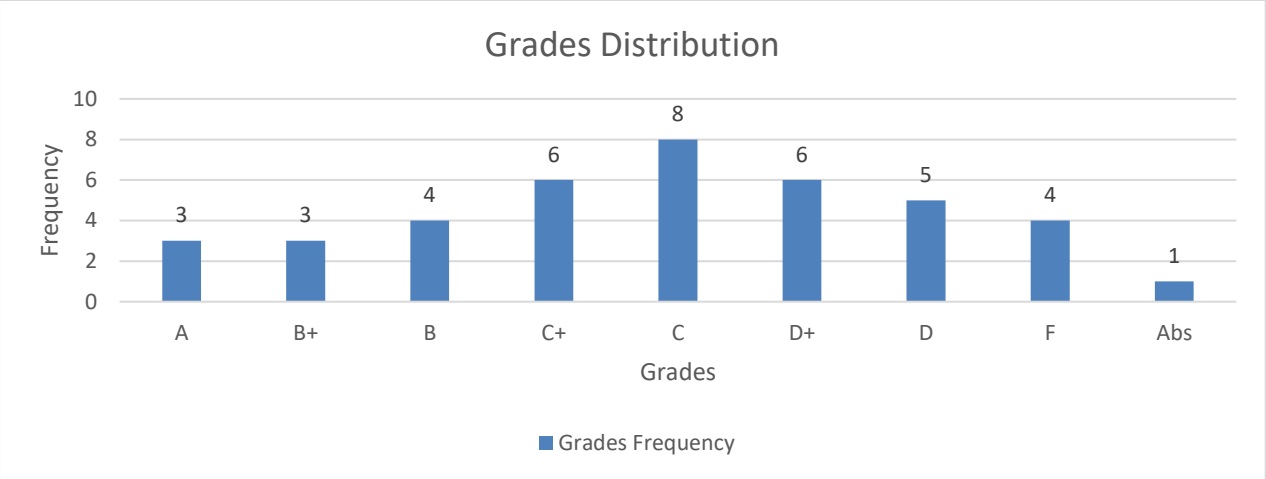
Q5	*The instructor took* interest in developing students' practical skills and answered their questions. *كان الأستاذ يشجع التفاعل في المختبر/العيادة/الأستوديو ويتجاوب مع أسئلة الطلبة.*	
Q6	*The instructor evaluated the students' work in a timely manner.* *قيّم الأستاذ أعمال الطلبة في الوقت المناسب.*	
Q7	*The equipment/components/material available in the lab/studio/clinic were sufficient and in good working condition.* *كانت المعدات/المواد الموجودة في المختبر/الأستوديو/العيادة كافية وتعمل جيدا.*	
Q8	*Overall, the instructor's performance in the* lab/studio/clinic *was excellent.* *بصورة عامة، كان أداء الأستاذ في هذا المساق ممتازاً.*	

d. Students' Feedback with Respect to Course Learning Outcomes:

Course Learning outcomes (CLOs)	**Average Score**
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

Instructor's Course Assessment

a. Grade Distribution

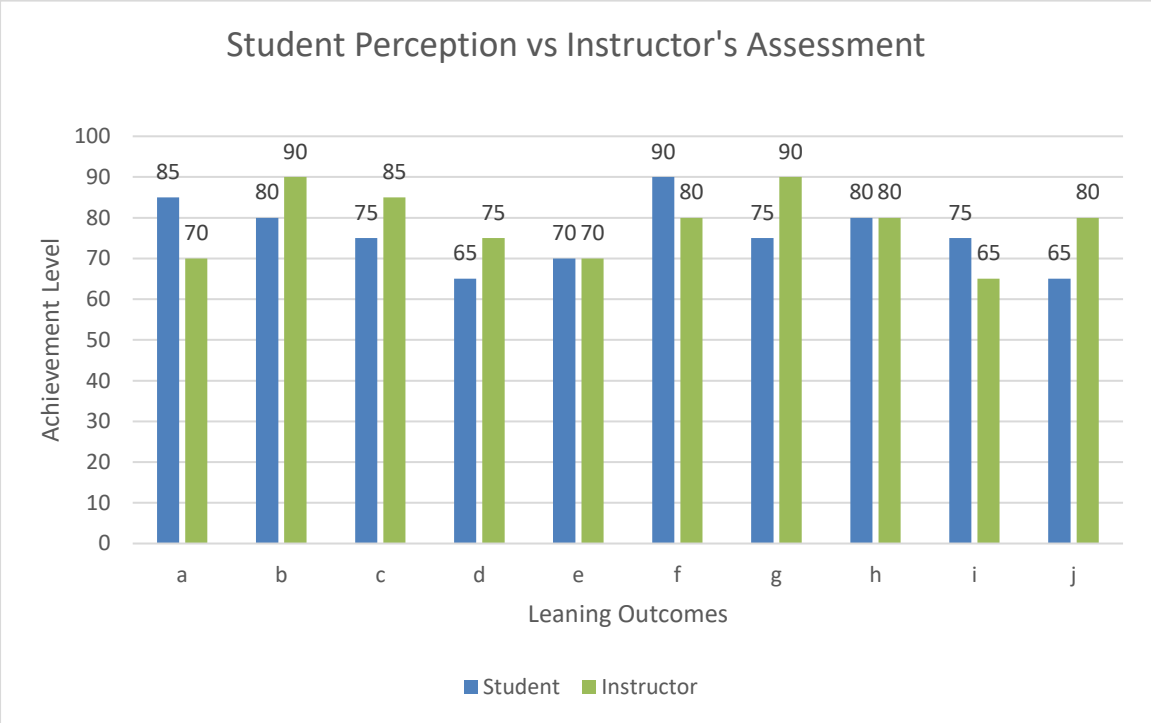


Comments on Grade Distribution:

Course Learning Outcomes Assessment (Using the CAP Program)

Course Learning Outcomes	Average Score
1.	
2.	
3.	
4.	
5.	
6.	
7.	

b. **Graph Representation of Student – Instructor Assessment of Course Learning Outcomes**



d. How do students' perceptions concerning course learning outcomes differ from their assessment by the course instructor? Please comment on any discrepancy:

5. Continuous Quality Improvement

a. Improvements relative to previous offering of the course:

Course Learning Outcomes NOT Attained in the Last Offering (Semester: 20… … - …) (ex: 2017-2) (Can be obtained from Head of CEC Committee or IE Coordinator)	Approved Actions for Improvements by ACIC and CEC Committees	Feedback on Actions Implemented this Semester by Instructor and their Effectiveness

b. Recommended improvements for course learning outcomes not achieved in the current offering if any:

Course Learning Outcomes NOT Attained in the CURRENT Semester	Suggested Actions for Improvements by Course Instructor

c. General Feedback by Instructor for improving students' learning experience:

Item	**Instructor's Comments**
a. Appropriateness of the course learning outcomes مدى ملاءمة مخرجات المساق التعلمية	
b. Extent to which the syllabus was covered مدى نطاق تغطية عناصر المقرر	
c. Appropriateness of textbook and other learning resources مدى ملاءمة الكتاب الدراسي والموارد التعلمية الأخرى	
d. Appropriateness of prerequisites مدى ملاءمة المتطلبات المسبقة	

d. Learning barriers and general comments on issues encountered in the course, if any:

Instructor's Signature Date

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	25/05/2017	Major change to criteria, rubric, and procedure	Vice Chancellor for Academic Affairs
V 2.1	20/02/2019	Minor change with adjustments to evaluation criteria	Vice Chancellor for Academic Affairs

College Deans Performance Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCCA
Approved By	Chancellor	Effective Date	May. 2017
		Next Review Date	Jun. 2020

Purpose of the Review

The purpose of the dean's performance review is (i) to evaluate the progress of the college, departments and units under the dean's leadership, (ii) to provide an opportunity for constructive input from faculty and other constituencies, and (iii) to assess the professional contributions and performance of the dean. This policy describes the process and criteria by which the review is to be conducted. The outcome of the review will be used as the basis of the contract renewal decision.

The Review Process and Procedure

The Vice Chancellor for Academic Affairs (VCAA) will review the performance of each dean in Ajman University at the end of his/her term of appointment. The review process is to be initiated by the appointment of a review committee by the VCAA. The review committee will consist of three to five members, and will be chaired by a senior faculty member from a different college. The majority of the review committee members will be selected from faculty in the academic units supervised by the dean. The office of Institutional Research and Planning (OIRP) will provide logistic support to the review committee in relation to conducting surveys, data processing and analysis.

VCAA will provide the review committee with Dean's self-evaluation report (DSER). The committee should also seek appropriate input and feedback from the concerned department/program chairs (if any), faculty, staff, students, and other constituencies. The committee should seek to identify areas where the dean should place more emphasis/attention if he/she were to continue to lead the college.

Upon conclusion of the review, the committee will provide the VCAA with a confidential written report. The report should provide an assessment of the college progress under the dean's leadership, an evaluation of the dean's performance, and recommendations for improvement, if any. The dean will have the opportunity to comment on the report. As a key component of the decision-making process, the VCAA will evaluate the committee's report, make a decision regarding re-appointment of the dean, and communicate the results of the review, including any recommendations therein, both orally and in writing to the dean under review.

Criteria for Review:

The VCAA will determine the criteria for review. In addition to the following general criteria, he /she may consult the deans of colleges / academic units for any specific criteria along with appropriate measures. The criteria for the Dean's performance review shall include the following:

a. Demonstrating evidence of commitment to the highest standards of quality in teaching, scholarship/research, and academic development.

b. Providing leadership in all academic matters, with responsibility for coordinating, evaluating and improving curricula and programs and for promoting excellence in teaching and research.
c. Facilitating goal setting by individuals, programs, departments, and the college in alignment with the University mission and strategic plan.
d. Establishing a working environment conducive to achieving individuals, departments and college goals.
e. Identifying and resolving conflicts affecting the college.
f. Recruitment and retention of highest quality faculty, staff and students while ensuring diversity.
g. Implementing fair and effective performance evaluation for faculty and staff.
h. Developing college internal and external resources.
i. Managing the college's fiscal affairs.
j. Building partnerships with constituencies within and outside the University.
k. Developing impactful engagement initiatives with professional and social communities.

Dean's Self- Evaluation Report (DSER):

The dean will submit a self-evaluation report to VCAA as follows:

- 3-6 page description of the Dean's accomplishments in the time under review. The report should include specific evidence of providing leadership to staff and faculty, financial and human resources management, improvement of quality of learning, development of programs and educational resources, enhancement of research and scholarly activities, initiatives for student recruitment and retention and partnership agreements with professional and social communities
- College strategic/business plan.
- College budget priorities.
- Record of any grievances filed against the Dean

VCAA will submit the *DSER* along with any other relevant documents to the review committee.

Confidentiality:

It is essential that utmost confidentiality be maintained during the review process. The review committee members and the individuals engaged from OIRP for the logistic support are expected to maintain confidentiality of information, decisions and identity of individuals.

College Dean Performance Review

Dean's Name: College:

Date:

Please provide you feedback on the dean's performance in the areas below using the following scale:

5 Strongly agree
4 Agree
3 Slightly agree
2 Disagree
1 Strongly disagree

No.	Feedback Item	1	2	3	4	5
A	**Organizational Matters**					
1	Communicates priorities and administrative procedures effectively					
2	Keeps staff fully informed on all relevant matters relating to the University					
3	Works effectively with staff in identifying goals, in setting priorities and in focusing resources					
4	Maintains appropriate administrative organization, sharing governance with staff when appropriate					
B	Leadership					
5	Promotes excellence in teaching and research.					
6	Provides leadership in all academic matters, with responsibility for coordinating, evaluating and improving curricula and programs.					
7	Facilitates goal setting by individuals, programs, departments, and by the college / unit as a whole in alignment with the University mission and strategic plan.					
8	Develops and communicates a clear strategic and management direction					
9	Encourages individual initiative					
10	Encourages teamwork and collaboration.					
11	Creates an environment of respect and high morale					
12	Projects a progressive and positive image of the University					
13	Consults with appropriate individuals before making decisions					

C	**Personnel Management**					
14	Promotes fair faculty and staff workloads					
15	Provides support for the successful recruitment and retention of faculty and staff					
16	Recognizes contributions of faculty and staff					
17	Supports Faculty and staff in providing service to the University community					
18	Responds to issues of concern from faculty and staff					
19	Encourages and promotes career and professional development among faculty and staff					
20	Evaluates faculty and staff effectively and fairly, according to established measures and standards for staff performance					
21	Maintains appropriate levels of confidentiality in personnel matters					
D	**Personal Character**					
22	Is accessible to the AU community (responds to emails and phone calls in a timely manner)					
23	Is available, approachable and open to suggestions					
24	Respects the rights and dignity of others					
C	**Resources Development**					
25	Advocates for adequate resources to advance the mission of the college					
26	Encourages and assists in faculty professional development					
27	Manages college resources for program effectiveness					
28	Develops and supports and visibility for the college and its programs through networking					
D	**Initiatives Supporting University Vision and Mission**					
29	Integrates the college's strategic goals with overall goals of the university					
30	Promotes university enrollment goals, including retention and graduation rates.					
31	Supports engagement activities consistent with the university mission					
E	**Overall, how satisfied are you with this dean?**					

Write your suggestion and comments

Name: **Job Title:** **Signature:** **Date:**

College Dean Performance Review
(Form 2: to be completed by College students)

Dean's Name: College:
Date:

Please provide your feedback on the dean's performance in the areas below using the following scale:

5 Strongly agree
4 Agree
3 Slightly agree
2 Disagree
1 Strongly disagree

No.	Feedback Item	1	2	3	4	5
1	The dean does a good job in finding qualified faculty to teach.					
2	The dean provides opportunities for students to be heard on academic program issues.					
3	The dean develops and maintains good relations for the academic program outside the University (like companies).					
4	The dean creates a positive atmosphere in the college.					
5	The dean does a good job in handling student concerns and problems.					
6	The dean is accessible to students.					
7	The dean is always fair and ethical when interacting with students.					
8	The dean promotes open communication with students.					
9	The dean handles student problems and matters in a timely manner.					
10	The dean communicates with students whenever required.					

Write your suggestions and comments

Students' Program **AGPA** **Hours Completed**

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	25/05/2017	New policy – CAA standard	Vice Chancellor for Academic Affairs

Faculty Promotion Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Chancellor	Effective Date	Mar. 2019
		Next Review Date	Jun. 2021

Ajman University (AU) encourages its faculty to be committed to production and dissemination of innovative and impactful knowledge. The ultimate purpose is to support the institution's mission, achieve its goals, and enhance performance and productivity through adoption and utilization of best practices in teaching, research, and service to the University and the community at large, following the principles of objectivity, transparency and fairness.

AU puts significant emphasis on professional development of its faculty. It also rewards those who demonstrate exemplary performance and contribute with outstanding achievements. It recognizes the right of deserving faculty members to be promoted to higher rank in accordance with its promotion policy and encourages them to seek promotion as soon as they have met the conditions to apply for promotion to a higher rank. This policy applies to all full-time, resident faculty members holding Master, PhD or terminal degrees, and appointed to the rank of Lecturer, Senior Lecturer, Assistant Professor and Associate Professor.

Candidates applying for promotion to a higher rank shall be evaluated on the basis of (a) quality of teaching effectiveness (b) depth of scholarship and quality and impact of published work (c) service to the University, the community and the profession/discipline. The promotion process adopted at AU aims at encouraging academic excellence in a fair and objective manner. For this purpose, specific measurable and well-defined promotion criteria and procedures have been developed. A brief description of the promotion criteria is as follows:

○ Criteria for Promotion

Faculty members applying for promotion will be evaluated on the basis of the following:

1. Teaching
2. Research
3. Service

While the University and community service is recognized and encouraged, high quality teaching and research are of primary importance and are indispensable qualifications for promotion to higher academic ranks.

Teaching

Since teaching is a primary function of all AU faculty, a candidate for promotion is required to demonstrate his/her ability to teach effectively in addition to fulfilment of all other assigned responsibilities. The following factors and criteria are to be considered in the evaluation of teaching performance:

a. Competence in teaching the subject matter and effective utilization of different teaching and learning methodologies.
b. Effectiveness in the development and use of innovative methods in teaching such as e-learning and experiential learning.
c. Initiation and participation in curriculum development (e.g. major revisions of existing courses, development of new courses, initiation of new programs or concentrations, etc.).
d. Effectiveness in the development and use of instructional laboratories, studios, and clinics, as applicable.
e. Effectiveness in supervising theses, senior projects, training, etc.
f. Ability to teach different courses in their areas of specialization.

Research

The University shall promote faculty members who are actively engaged in scientific research and creative scholarship of demonstrable quality and impact. Therefore, all faculty members holding PhD or terminal degrees should demonstrate significant research achievements in their fields of specialization. While faculty members holding Master degrees and appointed as Lecturers are not required to produce scholarly output, those desiring to be promoted to the ranks of Senior and Principal Lecturers must provide some evidence of scholarly output as explained in this policy.

Promotion to the rank of Associate Professor requires research accomplishments whose originality, depth and impact establish the candidate as an important contributor to knowledge in the specialized field. Promotion to Professor Rank requires a record of research accomplishments that establish the candidate as an outstanding contributor to knowledge in the specialized field.

The research achievements of all faculty members shall be evaluated on the quality of their contribution to knowledge in the context of the research mission of individual departments and colleges, as evidenced by the goals set out in their respective strategic plans.

Research output shall be demonstrated by published work in reputed and ranked journals and proceedings of prestigious conferences, written evaluations by leading figures in their specific research field, awards, prizes, inventions, patents, and other recognitions. For faculty specialized in the fields of Architecture, Art, and Design, the research output could also include creative works as specified in this policy.

In published scholarly work, the main considerations are impact and quality rather than volume. A judgment can be made by examining the quality of the journals in which the publications appeared, the use which other researchers make of an individual's publications (citations), or by requesting testimony from other distinguished practitioners in the field. Contributions in the area of coordination of knowledge such as survey articles and books are also considered as evidence of effective scholarship. Substantial external research grants also constitute an important factor in the assessment process.

Other evidence in this area includes supervision of Master's and Doctoral theses. Moreover, articles, textbooks, reports, and similar publications normally considered as contributions to the professional literature or the advancement of the professional practice or of professional education shall be regarded as evidence of effective scholarship, especially when they present new ideas or incorporate scholarly research. Evidence of scholarly stature may include services on editorial boards of scholarly

journals, invitations to give keynote addresses in conferences or symposia, membership in technical committees of international/national conferences, acting as referee for scholarly journals and conferences. Software or prototypes may be evaluated for consideration as evidence of scholarship.

Service

Service includes a) department, college and university service, b) academic and professional activities outside AU, and c) contribution to students' co-curricular activities. Recognition shall be given to faculty members who prove themselves as active administrators and developers of their respective departments and colleges. Services rendered by the faculty members to the local community and the United Arab Emirates, both in their special capacities as scholars and in areas beyond these special capacities when the work done is at a sufficiently high level and quality, shall likewise be recognized in the promotion process. These services may include organizing short courses, national/international conferences, seminars and workshops, authoring articles for the general public and translations from and into Arabic, etc. Contributions might also include identifying industry needs and elaborating coherent training programs in their areas of expertise, as well as establishing a link for technical cooperation between AU and other institutions in specific areas of expertise. Similarly, guidance and leadership in student activities and contribution in student counselling shall also be recognized and considered.

○ Section I: General Provisions and Definitions

Article 1:

The above preamble is an integral part of this Policy.

Article 2: Definitions

The following terms and expressions shall have the meanings hereunder assigned to them, unless the context indicates otherwise.

Term	Definition
UAE	United Arab Emirates
The Ministry	The Ministry of Education- Higher Education Affairs, United Arab Emirates
The University/AU	Ajman University
The University Chancellor	AU Chancellor
FPC	Faculty Promotion Committee
The College	The college to which the faculty member applying for promotion belongs.
The Department	The department to which the faculty member applying for promotion belongs.
Jury	A jury of university professors from a similar field of expertise selected from inside or outside the UAE to review and evaluate an applicant's research papers
Academic Scale	Assistant Professor - Associate Professor - Professor

Article 3: Policy Name and its Execution

This Policy shall be named the "Faculty Promotion Policy" and shall become effective as of the date of its approval by the Chancellor. It shall supersede any and all conflicting documents.

Only full-time (resident) faculty, including full-time clinical faculty, appointed as Assistant or Associate Professors at AU may apply for an academic promotion, as per the provisions set forth herein.

Article 4: Primary Evaluation Responsibility

The College Dean is primarily responsible to conduct the promotion evaluation in accordance with the promotion policies stated in this document. The Dean shall submit his/her recommendations to the Vice-Chancellor for Academic Affairs (VCAA) who will forward it to the Faculty Promotion Committee (FPC).

After validating that the promotion process has been carried out in accordance with AU promotion policies, the FPC shall submit its observations and recommendation to the VCAA who is ultimately responsible of approving or rejecting the promotion applications.

In case the Dean himself/herself is the candidate for promotion, the primary evaluation responsibility shall rest with the FPC.

○ Section II: Faculty Promotion Committee (FPC)

Article 5: FPC and its Objectives

AU has established a Faculty Promotion Committee (FPC) with the following objectives:

1. Assuring that the process carried out for promotion of a faculty member is completely in accordance with the policies and procedures set forth in this document.
2. Assuring transparency, objectivity and impartiality in issuing recommendations regarding promotions.
3. Assuring that any promotion is granted on the sole ground of eligibility and competence, supported by the faculty member's excellent track of teaching, research and university and community service.
4. Submitting its observations and promotion recommendation to the Vice- Chancellor for Academic Affairs for final decision.

Article 6: FPC Composition

FPC shall be established by the Vice-Chancellor for Academic Affairs. The chairperson of FPC shall be a professor and FPC members shall have the rank of associate professor or professor. All colleges shall be represented. Any vacant seat shall be filled with a member from the same college through a decision of Vice-Chancellor for Academic Affairs.

Article 7: FPC Duties

AU Faculty Promotion Committee (FPC) shall deal with the following:

1. After receiving the applicant's complete file from the VCAA, the FPC shall review the evaluation process and submit its observations and recommendation to the Vice-Chancellor for Academic Affairs (VCAA) after ensuring that the process carried out for promotion was completely in accordance with AU promotion policies and procedures.

2. Maintain and update the Faculty Promotion Policy as directed by the Vice- Chancellor for Academic Affairs.
3. Perform any other duties assigned by the Vice-Chancellor for Academic Affairs.

Article 8: Meetings of FPC

The Faculty Promotion Committee shall hold meetings in accordance with a specified timetable as well as upon the invitation of the Vice-Chancellor for Academic Affairs, with its quorum being a simple majority.

○ Section III: Jury

Article 9

A qualified jury, which shall be selected as per the conditions set forth in this Policy, shall assess the quality and impact of research and scholarly publications of the applicant.

The VCAA is responsible for providing the Dean with a template invitation to be sent to potential jury members by the Dean.

Article 10: Selection of Jury

1. Each College shall develop and maintain a database of qualified reviewers with the minimum rank of Associate Professor. The reviewers shall have excellent academic reputation in their respective disciplines.
2. The Head of Department (HOD) should provide the Dean with at least 10 potential external reviewers to evaluate the research publications of the applicant. If the HOD himself/herself is the candidate for promotion, then the Dean shall ask a senior faculty in the department to provide the list.
3. The College Dean shall select three reviewers for reviewing the published research of the applicant. If the Dean himself/herself is the candidate for promotion, then the College Council, without the presence of the Dean, shall select the three reviewers from the list provided by the HOD.
4. All correspondence with reviewers, their reports and promotion deliberations as well as the names of the selected reviewers shall be kept confidential.

Article 11: Criteria for Jury Selection

External reviewers shall be selected on the basis of the following criteria:

1. All reviewers must be specialized in the same discipline as that of the applicant
2. All the reviewers must be of Professor Rank if the promotion application is for promotion to the rank of Professor. However, one reviewer can be of Associate Professor Rank if the promotion application is for promotion to the rank of Associate Professor.
3. All reviewers must be from accredited institutions of good reputation and high ranking.
4. No reviewer must have collaborated with the applicant in any of the research papers submitted in the application. No previous relation in the awarding of the applicant's Masters or PhD degree should exist between the applicant and the reviewer and both the applicant and the reviewer must not have worked for the same employer at the same time.

Section IV: Faculty Promotions

Article 12: Promotion Criteria

A faculty member may apply for promotion to a higher rank if he/she meets the following criteria:

1. Has served AU for at least two years as full-time, resident faculty. However, for applicants with exceptional research performance, this period can be reduced to one year by the Dean. The period the applicant may have spent as visiting faculty shall be counted if his/her appointment was changed from a visitor status to a resident faculty without any break in service at AU. The period a returning faculty had spent at AU before leaving the University shall be considered if the duration between his/her leaving the university and re-joining it is less than two years.
2. Has served at his/her current rank for at least five years, in either Ajman University or any other accredited university. However, for applicants with consistent outstanding performance, the Dean may reduce this period to four years.
3. For promotion to the rank of Senior Lecturer, the applicant has produced at least one indexed publication, or one creative art work, as listed in this policy, or has made significant contribution in industry/professional practice.
4. For promotion to the rank of Principal Lecturer, the applicant has produced at least two indexed publications, or two creative art works, as listed in this policy, or has made outstanding contribution in industry/professional practice.
5. For promotion to the rank of Associate Professor, the applicant has published minimum of four peer-reviewed indexed research papers; at least three of these papers are published in reputed and ranked journals, and at most one paper is published in the proceedings of a prestigious conference. Alternatively, the applicant for promotion to the rank of Associate Professor has published at least two refereed research papers (at least one in a reputed and ranked journal) and produced at least two creative works from the list of creative works provided in this policy.
6. For promotion to the rank of Professor, the applicant has published minimum of six peer-reviewed indexed research papers; at least five of these papers are published in reputed and ranked journals, and at most one paper is published in the proceedings of a prestigious conference. Alternatively, the applicant for promotion to the rank of Professor has published at least four refereed research papers (at least three in reputed and ranked journals) and produced at least two creative works from the list of creative works provided in this policy.
7. Other applicable conditions are as follows:
    a. The number of research papers published by the same refereed journal shall not exceed two except for very high-quality journals, such as SCOPUS-Q1 journals.
    b. The contents of the research papers or creative work should not be copied from the applicant's Master's and PhD theses. In addition, for promotion to the rank of Professor, the papers should not be based on the material used for promotion to the rank of Associate Professor. Similarly, for promotion to the rank of Principal Lecturer, the scholarly output should not be based on the material used for promotion to the rank of Senior Lecturer.
    c. In case of application for promotion to the rank of Associate Professor, at least one of the submitted research papers or creative work must be either individually authored by the

applicant or with only one co-author/contributor. Alternatively, for at least one research paper, the applicant must be the first author of the paper. For other papers or creative work, the total number of authors/contributors must not exceed four. A paper or creative work will be considered to have 50% weight if the number of authors/contributors for that paper is five or more. Two papers or creative works with 50% weight shall be considered equivalent to one paper or creative work in terms of fulfilling the requirement of number of publications or creative works.

d. In case of application for promotion to the rank of Professor, at least two of the submitted research papers or creative works must be either individually authored by the applicant or with only one co-author/contributor. Alternatively, for at least two research papers, the applicant must be the first or second author of the paper. For other papers or creative works, the total number of authors/contributors must not exceed four. A paper or creative work will be considered to have 50% weight if the number of authors/contributors for that paper or creative work is five or more. Two papers or creative works with 50% weight shall be considered equivalent to one paper or creative work in terms of fulfilling the requirement of number of publications or creative works.

e. Only one unpublished research paper that has been accepted for publication in a reputed and ranked journal or prestigious conference proceeding may be submitted for consideration.

f. At most one refereed research paper published in the proceeding of a prestigious scientific conference shall be accepted.

g. Research papers published in electronic journals shall be accepted if the electronic journal is refereed and ranked and the publication is approved by the College Research Committee (CRC) and the Dean. Papers published in questionable “pay-to-publish” journals shall not be accepted.

h. A patent shall be considered as a research paper, provided the applicant demonstrates that the patent registration is under the applicant's name. In this case it shall not be sent to a jury and shall be rated as Excellent.

i. At least two of the submitted research papers or creative works must be authored/produced while the applicant is employed at Ajman University.

j. All the submitted research papers must deal with the applicant’s specialization/discipline. However, one high-quality educational/pedagogical peer-reviewed research paper may be considered.

k. The Dean may refer to the College Research Committee (CRC) to ascertain the quality of the journals and conference proceedings in which the applicant has published his/her research work. The CRC shall refer to AU publication guideline document for classifying the journals in various categories (such as AU A*, A, B or C)

8. The list of Creative Outputs approved by the University are as follows:

List of Creative Outputs

1. Creative work that won national or international architecture, art and design competitions (1st, 2nd or 3rd prize).
2. Design of innovative furniture or other industrial products.
3. Certificate of patent/invention related to architecture, art and design.
4. Creative and innovative design work, such as villas, hotels, malls, shops, coffee shops and restaurants.
5. Demonstrated original art or design exhibitions at national or international level in authorized galleries, museums, governmental or private well-recognized organizations and national or international exhibitions.
6. Completion of architectural project including letter from consultancy or client. Project size and complexity must be part of referees' input.
7. Renovation and restoration of old or historic buildings.
8. Specialized work such as sustainability, feasibility, shading, acoustics or lighting

Article 13: Promotion Procedure

The procedure for promotion to the ranks of Associate Professor and Professor is as follows:

a. The applicant sends a letter of intention to the Dean who forwards it to the VCAA.
b. The VCAA, after validating the eligibility of the applicant, sends a letter to the Dean to confirm or deny eligibility based on the requirements for promotion to the desired rank.
c. The Dean informs the applicant about the eligibility status with a copy to the VCAA.
d. Applicant submits his/her complete dossier to the HOD.
e. The HOD (or senior faculty member appointed by the Dean if HOD is the applicant) forms an ad-hoc committee at the department level which evaluates/assesses the submitted dossier.
f. The ad-hoc committee submits its report to the HOD (or to senior faculty member appointed by the Dean if HOD is the applicant) who reviews the report of ad-hoc committee and submits his/her recommendation to the Dean along with the complete dossier. If the Dean is the applicant, then HOD shall submit the report along with his/her recommendation and the dossier to the FPC.
g. HOD submits a list of 10 external reviewers to the Dean. If the HOD himself/herself is the candidate for promotion, then the Dean shall ask a senior faculty in the department to provide the list.
h. The Dean is responsible for sending invitations to external reviewers and should form a jury of 3 external reviewers selected from the list of 10 reviewers. The Dean shall be responsible for all communication with the reviewers throughout the review process until it is complete. If the Dean himself/herself is the candidate for promotion, then the College Council, without the presence of the Dean, shall select the three reviewers from the list provided by the HOD. Also, in this case the FPC shall send invitations to external reviewers and be responsible for the review process until it is complete.

i. The Dean receives the reports of the external reviewers. The Dean reviews these reports as well as the report of the department ad-hoc committee and the recommendation of the HOD, and writes his/her own report. After giving the grades for each of the three categories (teaching, research, service), the Dean submits the complete file (which includes the reports of the external reviewers and department ad-hoc committee as well as HOD's and Dean's recommendations) to the VCAA. The VCAA shall forward the complete file to the FPC.

j. The FPC shall review the complete file and send its observations and recommendation to VCAA.

k. The VCAA makes the final decision

The procedure for promotion to the ranks of Senior Lecturer and Principal Lecturer is as follows:

a. Upon completion of a minimum of five years of serving in the position of a Lecturer/Senior Lecturer, the candidate will submit the application for promotion to a higher rank along with complete portfolio to the HOD.

b. The HOD shall form an ad-hoc committee in the department to evaluate/assess the submitted portfolio.

c. The ad-hoc committee shall submit its report to the HOD who, after reviewing the report, shall submit his/her recommendation to the Dean along with the portfolio.

d. A Committee formed by the Dean shall assess the candidate based on the above-mentioned criteria and submit its report to the Dean.

e. The Dean shall submit the promotion recommendation to the Vice Chancellor for Academic Affairs who shall confirm or deny the promotion to the rank of Senior/Principal Lecturer

Article 14: Weightage of Teaching, Research, and Service

The weights for teaching and research shall account for 70% of the total grade while service shall account for 30% of total grade. For teaching and research, the weight for each shall be in the range of 30-40%. The applicant can choose, in consultation with the Dean, the weight for each provided that the total for these two categories is 70%.

Article 15: Grading Criteria

The grading shall be carried out provided the applicant meets the conditions set forth in the Promotion Criteria mentioned in Article 12. Otherwise, the application for promotion shall be rejected. For eligible applicants (i.e. those satisfying the conditions set forth in Article 12), the grading criteria is as follows:

- **Teaching:**

The teaching grade shall be given by the Dean on the basis of students' evaluation, teaching effectiveness, and quality of course files/portfolio, as explained below. In this regard, the Dean shall also receive input from the HOD.

Students' Evaluation: The Dean shall determine the grade based on students' evaluation related to teaching and learning. This shall account for 40% score in teaching category.

Teaching Effectiveness: The applicant shall provide evidence of teaching effectiveness in terms of effective teaching methodologies employed in classroom, major revisions of existing courses, development of curriculum, updating of labs, clinics, studios (as applicable), development of students' skills and competencies, fair and consistent grading policy, etc. The Dean shall consider all these factors in giving a grade for teaching effectiveness. This shall account for 40% grade in the teaching category.

Course Files/Portfolio: The applicant shall submit the course files or portfolio for all courses taught during the past one year (fall and winter semesters) and clinics or studios, etc. supervised. For this, the Dean shall give a grade with maximum score of 20% in the teaching category.

- **Research:**

  For each reviewed research paper or creative output, the external reviewers shall give a score out of 100. Each paper with 50% weight (paper with five or more authors) will be given a score out of 50. Depending upon the required number of publications, as stated in Article 12, the papers or creative outputs with highest scores will be considered by the Dean to give a final percentage grade. For each paper or creative output with 50% weight, the scores of two such papers will be considered equivalent to one paper.

- **Service:**

  The Dean shall give a service score for each of the following three categories:

  - Department, College and University service (out of 60)
  - Academic, professional, and community service activities outside AU (out of 20)
  - Contribution to students' co-curricular activities (out of 20)

Article 16: Success Criterion

After determining the percentage grades in teaching, research, and service and considering the relative weights for each of these three categories, the Dean shall determine the overall weighted score in percentage. To be successful, the applicant shall obtain at least 75% overall weighted score. In addition, for promotion to the Associate Professor rank, the applicant must obtain at least 70% score in the research category, while for promotion to the Professor rank, the applicant must obtain at least 80% score in the research category.

Article 17: Decision by the VCAA

1. The Dean, after determining the percentage score of the applicant in each category as well as the overall weighted score in percentage, shall make a recommendation based on the above-mentioned success criterion and submit the recommendation along with all evaluation documents (including reviewers' reports) to the VCAA for further action.
2. The VCAA shall forward the applicant's file (including the report of the Dean and the reviewers' reports) to the FPC. The FPC will review the qualifications of the applicant as required for promotion, fulfilment of all evaluation process requirements, and accordingly prepare a report taking into consideration the Dean's recommendation. Otherwise, the FPC will notify any short-comings in the review process to the Dean and request for re-consideration. Finally, the FPC shall submit its observations and recommendation to the VCAA.

3. The VCAA shall issue a decision on the promotion application following the recommendation given in the FPC report, provided that the applicant is still working in the same post at the time the decision is issued.
4. In case of favorable decision by the VCAA, the applicant shall be promoted to the corresponding academic rank in accordance with Article 18 below.
5. The decision of promotion shall be issued in both Arabic and English, in two originals, one for the promoted faculty member and the other for the Office of Human Resources. A soft copy thereof shall be sent to the Documentation Centre for archiving purposes.

Article 18: Effects of Promotion

All non-financial effects of the decision of promotion shall be applicable immediately after the approval of promotion by the VCAA. However, all financial effects shall be applicable as from the beginning of the following academic year.

Article 19: Re-application for Promotion

a. If the application is rejected, the applicant may re-apply for promotion in the following academic year.
b. If the application for promotion is rejected for two consecutive times, the Dean may accept to review the application for a third and final time, at least one year after the second application was rejected. The applicant shall bear all the costs related to processing of his/her third application.

○ Section V: Appeals

Article 20

The applicant can submit an appeal against the promotion decision to the University Chancellor, within one month from the date he/she is notified of the rejection decision. The University Chancellor may reject the appeal or form a committee to handle the appeal.

○ Section VI: Amending the Policy

Article 21

The articles of this Policy may be reviewed any time after one year from its entry into force, upon the directive of the Vice-Chancellor for Academic Affairs.

Appendix: Timetable for Promotion Process

No.	Procedural Step	Deadline
1	Applicant submits letter of intent to the Dean	10th September
2	Dean forwards the letter of intent to the VCAA	17th September
3	Dean informs the applicant about his/her eligibility status	October 1
4	Applicant submits his/her dossier to the HOD	October 10

5	The HOD forms an ad-hoc committee in the department to review the dossier	October 17
6	The ad-hoc committee submits its report to the HOD	November 1
7	The HOD submits the dossier to the Dean along with the report of ad-hoc committee and his/her recommendation	November 10
8	The Dean sends the research papers to three external reviewers (jury)	November 24
9	The Dean receives the reviewers' reports.	March 01
10	The Dean reviews the complete file and gives score for each category. Submits the complete file to VCAA with his/her recommendation.	March 15
11	The VCAA forwards the file to FPC	March 22
12	The FPC after reviewing the complete file submits its recommendation to the VCAA	April 15
13	The VCAA makes the final decision	April 30

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	19/03/2017	New policy – new promotion criteria and provisions to regulate promotion - new roles to HODs, Deans, and Faculty Promotion Committee	Vice Chancellor for Academic Affairs
V 2.1	19/03/2019	Minor change - added criteria to the policy for the promotion of lecturers with a Masters as a terminal degree / new list of creative outputs	Vice Chancellor for Academic Affairs

Staff Training and Development Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Jan. 2018
		Next Review Date	Jun. 2021

INTRODUCTION

At *Ajman University (AU)* - 'Training and Development' plays a quintessential part towards achieving the mission of 'nurturing the talent and potential of every employee (Academics and Administration), which in-turn helps in achieving the goals and professional objectives of the individual and the university alike.

At AU - Training on one hand targets specific goals, for instance understanding a process and operation of a certain machine or a system; Development, on the other, puts emphasis on broader skills, which are applicable in a wide range of situations, which includes communicating effectively, solving-problems imaginatively, make-decisions efficiently, thinking creatively and managing-people resourcefully.

The purpose of this policy document is to provide –

- AU with tools and methodologies to help in 'developing and optimizing' the 'talent asset' of the university;
- To provide the 'Training and Development' team with the required policies, procedures, guidance and templates to conduct the 'Training' activity seamlessly with a strategic direction.

AU's 'Training and Development Policy' has been designed on the basis of the following principles:

- *Strategic Alignment*: Training and Development activity is conducted with a clear comprehension of the strategic requirements and direction of AU;
- Career Progression: Ample opportunity to be provided for each employee to improve and enhance their skills and competencies;
- *Simplicity*: A user-friendly interface and system that can be easily understood, implemented and used;
- *Continuous Improvement*: An open environment where processes and systems may be formally improved under the guidance of the 'change management mechanism'.

POLICY DESCRIPTION

APPLICABILITY

Applicable to all Administrative Staff of AU.

OBJECTIVES

- To clearly define and outline the 'training and development' processes and their sub-methodologies;

- To provide the Training and Development team with a transparent, dynamic and scalable framework which fosters efficacy and timeliness in the conduction of training and development sessions; and
- To thrive a strong 'Retention Mechanism' to develop and retain the best talents available in the University.

EXCEPTION

There shall be no exceptions to this policy. All exceptions and deviations to this policy will require the approval of the COO.

GLOSSARY

Terminology	Description
AU	Ajman University
Office of HR	Office of Human Resources
Line Manager	• Dean shall be considered as the Line Manager in Academics; • Head of Departments shall be considered as Line Managers in Administration;
HRM	Human Resources Manager
SME	Subject Matter Expert
T and D	Training and Development Section
TMO	Talent Management Officer
TNA	Training Needs Analysis
COO	Chief Operating Officer
Training	Training simply refers to the process of acquiring the essential skills required for a certain job
Development	Development includes the acquisition of behavioral skills including communication, inter-personal relations, leadership acumen and other related skills

KEY ROLES AND RESPONSIBILITIES

Chief Operating Officer (COO):

a. COO shall ensure that the 'Training and Development' policies and procedures are in conformance of the strategic goals and direction of AU;
b. Facilitates the continued sponsorship of the 'Training and Development initiatives by the allocation of sufficient funding;
c. Ensures that HR shall be informed /discussed-with while any improvements /new interventions in the realm of Training and development are being set-in-motion;

d. COO shall be accountable for overseeing the strategic initiatives and outcomes in the Training and Development realm;
e. Shall review and approve the 'Strategic Training Plan;
f. COO shall review the performance of 'Training and Development' and provide directions towards improvements;

Office of Human Resource:

HR shall own, manage and improve (from time-to-time) the 'Training and Development' processes and systems;

a. 'Training and Development' division of HR shall conduct an Induction-Program for all AU new employees.
b. 'T and D' division of HR shall ensure that appropriate in-house 'Training-Programs' are made available to all employees, which correspond to the individual 'T and D' needs as reflected through the 'AU - Performance Management System' and are consistent with the organizational objectives, reflected via the 'Strategic Training Plan' process.
c. Furnish an annual 'T and D' report including summary information on training provided and funds expended to AU Higher Management.

Internal Audit Department:

a. Assessment of internal control effectiveness and efficiency of the 'Training and Development' processes and systems;
b. Conducting periodic /planned internal audits to access the conformance of 'T and D' practitioners to the set processes and procedures;
c. Follow up with the 'T and D' practitioners with a mitigation plan to ensure that non-conformances are closed;
d. Suggesting preventive and corrective actions on non-conformances.

<u>TRAINING CATEGORIES</u>

1. Induction Training /New Employee Orientation – Orientation given to a new employee on /just after the commencement date;
2. Planned /Calendared Training – trainings being conducted as per the published annual training calendar;
3. Ad-Hoc Training - Training to cater to the ad-hoc individual's /department's /college's 'T and D' needs;

<u>TRAINING TYPES</u>

1. Classroom Training
2. e-Learning Session
3. Mentoring /Coaching Session
4. On-the-Job Orientation
5. Self-Learning
6. Workshop /Conference

TRAINING MODES

T and D during the process of training shall use the services of both 'internal' trainers and 'external' trainers /training vendors as appropriate based on the following factors –

- Subject matter of the training course;
- Availability of internal 'subject matter of experts';
- Cost feasibility in engaging 'external trainers' / 'training vendors'.

For the approval to engage an external training vendor, 'T and D' shall liaise with HRM to ensure that the cost of this service is approved as under:

a. T and D /HRM shall discuss and agree on engaging the external trainer /training vendor;
b. To proceed, an approval request needs to get initiated from T and D and sent to HRM for approval;
c. T and D shall receive the approval from HRM; in case of rejection – the reasons for the same are also to be furnished;

TRAINING APPROVAL CRITERIA

The following criteria shall be applied for approving training requests:

- Employee's 'need for training' in relation to the university's mission, Goals and set performance objectives;
- Cost feasibility of the training, including travel cost (if applicable).
- Amount of time staff needs to be away from work;
- Employee's position and qualifications in relation to established pre-requisites or level of training under consideration;
- Other similar training courses previously attended by the employee;
- Projected benefits to AU from the employee's improved knowledge, skill, and performance outputs from the requested training;
- Employees' consent on a 'Training Consent Form' for courses or certificates exceeding a certain 'monetary value'.

TECHNICAL-TRAINING CONSENT PROCESS

Introduction:

'Technical-Training Consent' is an essential part of the AU training and development process.

It has been devised to simplify the process for obtaining 'technical certificates' or 'training courses' for employee development in their functional /domain realms. This is an 'official policy' to ensure that a trainee is acquainted with all the procedures and costs involved in his /her technical development endeavour. This 'policy' applies to all AU employees, who are eligible for technical training (Administrative and Academic).

The rationale of the 'Consent Form' is to advise the trainee about his /her conditional resignation; besides the likely cost incurred by the university on the technical training and the likely amounts to be reimbursed to AU, so the employee is aware of them prior to registering for a training program.

Guiding Principles:

In conformance with AU objectives of bridging the gap between theory and practice, and enhancing the skills of its members in all fields, eligible AU staff may be nominated to attend or participate in any course or training session, be it theoretical or practical, within the UAE or abroad, for which AU bears all the training program related costs, whereby the employee shall abide by this 'policy' in serving AU for a duration not less than the 'one' specified in this 'policy'.

General Guidelines:

- To inform the trainee about the nature of the training program and the varieties of benefits that could be gained by participating in a training program;
- *For Regular Training Programs*, the trainee commits to continue his /her work tenure for AU for:
    a. One (1) year (if the training cost is between AED 8,000 to 9,999);
    b. Two (2) years (if the training cost is more than AED 10,000);
- *For Professional Certificates or Diplomas*, the trainee commits to continue his /her work tenure for AU for:
    a. One (1) year (if the training cost is less than AED 8,000);
    b. Two (2) years (if the training cost is between AED 8,000 to 9,999);
    c. Three (3) years (if the training cost is more than AED 10,000);
- This 'policy' shall be applied after the end of the training program and once the trainee passes the 'Professional Certificate or Diploma Examination from the first attempt';
- For the Professional Certificates or Diploma; passing the examination is mandatory 'or else' the cost shall be borne entirely by the trainee;

In the event of an employee's resignation before completing the service period (as depicted in the above section), the University shall be liable to recover the 'training costs incurred' as depicted in the below table:

Training Type	Commitment Period	During First Six Months	During Second Six Months	During Third Six Months	During Fourth Six Months	During Third Year
Regular Training Program	One (1) Year (AED 8,000 - 9,999)	Recovery of 100% of Training Cost		Not Applicable	Not Applicable	Not Applicable
	Two (2) Years (> AED 10,000)			Recovery of 50% of Training Cost	Recovery of 25% of Training Cost	Not Applicable
Professional Certificate or Diploma	One (1) Year < AED 8,000)			Not Applicable	Not Applicable	Not Applicable
	Two (2) Years (AED 8,000-9,999)			Recovery of 50% of Training Cost	Recovery 25% of Training Cost	Not Applicable
	Three (3) Years (> AED 10,000)			Recovery of 50% of Training Cost	Recovery of 50% of Training Cost	Recovery of 25% of Training Cost

TRAINING AND DEVELOPMENT PROCEDURES

Training Requests:

a. Line Managers / Deans (training-requestor) shall provide their training needs by the end of June (which is for the next academic-year's training requirements) to the 'T and D'. These training needs shall be captured in the 'Training Request Form'.
b. The training requests / details may be based-on or the outcome-of - *college /Office objectives*, *customer /client requirements*, *employee development oriented initiatives* by HR, *individual's-request* for training and development, *leadership development initiatives*, *mitigating under performance*, achieving organizational training objectives, *alleviating performance gaps*, *professional up-gradation* and /or *succession planning initiatives*;
c. The 'training requestor' shall indicate the preferred training type (like classroom sessions, on-the-job orientations etc.,)
d. 'T and D' shall review /discuss and agree with the 'training requestor' on the best training methodology – 'training mode' and 'training type';
e. Then 'T and D' shall collate the training request 'details' into the 'Strategic Training Plan' (which is subject to change based on the outcome of the 'Training Need Analysis');
f. Ad-hoc 'training requests' being received shall not be routed through the 'strategic training plan and hence needs to go through the stipulated approval process.

Training Need Analysis:

a. The 'T and D' shall conduct the 'Training Need Analysis' (if there is a persuasive need to ascertain the necessity and imperativeness of a 'training request');
b. TNA can be done for an individual or for a group of individuals like team /department/Office/Unit;
c. TNA typically involves a thorough assessment –
    i. To determine whether a training course would help the cause in 'improving' the skills and competencies of an employee';
    ii. To determine the true training needs vs. performance issues;
    iii. To identify what knowledge and skills are to be developed. This is often based on a problem or an issue that is driven by one of the sources mentioned above in the 'training requests' section;
    iv. Also to comprehend the inhibitors towards successful implementation of a training solution at this stage.
d. 'T and D' shall discuss with the training requestor on the 'role expectations' and 'performance gaps' which prompted the 'training request';
e. The training requestor shall 'agree' on the TNA findings and 'sign' the TNA form;
f. 'T and D' shall again review the 'training mode' and 'training type' (as required based on the discussions with the training requestor);
g. Then 'T and D' shall enter all the relevant training need analysis 'details' into the 'Strategic Training Plan'.

Training Approval:

a. 'T and D' during the 'TNA' phase shall capture cost of the training course;
b. After the TNA is completed, the 'T and D' would duly complete the 'strategic training plan' and present the same for approval to the 'COO;
c. COO shall return the 'strategic training plan' for any review corrections to 'T and D' as required;
d. COO shall approve the 'strategic training plan' and forward the same to HRM;
e. HRM shall direct the 'T and D' to populate the requisite and relevant details of the 'strategic training plan' into the 'Training Calendar' and publish the same to all the appropriate stakeholders.
f. For ad-hoc training requests 'T and D' after completing the due process of collecting the 'training request', shall populate the training modes /training types /training cost fields (as appropriate) and then present the same for COO's approval;

Training Course Design:

a. The 'T and D' shall assess if a new training course needs to be designed or an existing course fits the current training request;
b. If a new training course design is required, the following steps shall be followed –
    i. Ascertain the best-fit training mode;
    ii. Ascertain the best-fit training type;
    iii. Develop a new course-material or improve /update an existing course-material with a SME and the training instructor to suit a particular training need;
c. HRM shall review and approve the course design including the course-material;
d. 'T and D' shall update the 'training course-material' master with appropriate details.

Training Conduction:

This involves coordinating with all the stakeholders with respect to getting the training started and successfully completed;

i. Coordinating with the trainers, trainees and reporting managers on the impending training session;
ii. Coordinating with the 'Facilities Office' for 'training venue bookings';
iii. Indenting for specific needs like stationeries, special infrastructure needs etc.
iv. Obtaining the stipulated training related feedbacks using the 'training feedback forms' just after the completion of a training session.

Training Effectiveness Measurement:

Training effectiveness shall be measured by a three (3) pronged skill assessments i.e. trainer's evaluation of trainees, trainees' evaluation of the trainer and on the job assessments of trainees (after a minimum time-lag of one (1) to three (3) months) by the reporting manager as below –

a. T and D shall do a systematic analysis of all the feedbacks and ratings obtained to arrive at a 'training effectiveness index' based on the below ratio –
    - 25% weight-age for Trainee's feedback on the trainer;

- 30% weight-age for Trainer's feedback on trainees; and
- 45% weight-age for Reporting manager's assessment on trainees;

b. T and D shall also capture the feedback on the improvements and 'lessons learnt' in the 'Month-Wise Training tracker', which can be incorporated in the subsequent training courses; this in-turn will help towards continuously improving the training effectiveness benchmark.

Update AU Employee Skill Database:

a. T and D shall ensure that all employee's skill details are updated immediately after the successful completion of a 'training course', or certification;
b. T and D submits the updated skill database to HRM for review /quality check;
c. HRM post quality overview and suggests any corrections /improvements.

TRAINING AND DEVELOPMENT ROLES

Grouped below are the definitive training and development responsibilities that various role incumbents are expected to perform at their respective levels –

Line Managers /Deans (Training Requestor)

a. Identifying appropriate training objectives for the Office/Department 'in-general' and individuals within the Office/Department 'in-particular';
b. Identifying specific training courses for the team members in their respective Office/Departments;
c. Providing direction and learning opportunities to ensure employees achieve their objectives and potential;
d. Coaching /mentoring (as required) and supporting employees in their learning and development activities;
e. Facilitate the preparation of an 'individual learning plan' for each of the team members in line with their performance and potential;
f. Ensure all the policies and procedures set for the conduction of training and development are adhered to;
g. Providing honest and on-time reporting manager's feedback on the trainees (as applicable);
h. Following up with the trainees (team members) and T and D in evaluating the effectiveness of all training and development activities.

Employees

a. Actively participate in the training identification process with their respective Office /Departments;
b. Identify and communicate their training and development needs specific to their roles ;
c. Participate readily in the planned /agreed training development activities;
d. Provide on-time feedback to their reporting managers /supervisors on the outcomes from training and development courses they have undertaken;
e. Update the 'skill /competency' section of HRIS after successfully completing the trainings /certifications.

Talent Management Officer /Coordinator

a. Initiate /follow-up on the requests for 'Training Request Form' ;
b. Conduct Training Need Analysis;
c. Partake in the Training Design phase as and when required;
d. Coordinate with the SME's and training instructors on the development of 'training course-materials' (as applicable);
e. Coordinate on the impending training course with nominated trainees, trainer, reporting managers and other administrative staff (as required);
f. Administer, follow-up and collect the training assessment /feedback forms from all the stakeholders i.e. 'Trainer', 'Trainee' and 'Reporting Manager' (as applicable);
g. Preparing training reports and maintenance of 'training records' in the HRIS –
    - Strategic Training Plan Template
    - Training Calendar Template
    - Training Need Analysis Forms
    - Month-wise Training Tracker
    - AU Employee Skill Database

Human Resources Manager

a. Verify the 'Strategic Training Plan';
b. Verify the 'Annual Training Calendar';
c. Review the need for engaging an external training vendor /trainer;
d. Participate in Training Needs Analysis;
e. Verify and approve the TNA(s);
f. Partake in the Training Design phase as and when required;
g. Verify and approve the 'Training Design' being incorporated for a new training course;
h. Verify, suggest and approve corrections to the 'Employee Skill Database';
i. Share the up-to-date 'Employee Skill Database' to all the requisite stakeholders at the end of every quarter;
j. Suggest process improvements in 'T and D';
k. Maintain an interface with external training consultants /agencies;
l. Ensuring that presentation, delivery and content of a training course are as per the 'AU - Code of Conduct'.
m. Offer Professional advice, expertise and guidance to Managers and Individuals.
n. Coordinate and scrutinize the 'financial details' for general training funds, which shall be submitted by departments as part of the normal budget process.

APPROVAL MATRIX

Approval For	Approval By	
	1st Level	**2nd Level**
Strategic Training Plan	HRM	COO
Training Calendar	HRM	COO
Training Request Form	Line Manager	HRM
Training Need Analysis Form	Line Manager	HRM
Engaging Training Vendors	HRM	COO

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	01/09/2014	Initial Policy – Defines and outlines rules and procedures for all University staff members	Human Resources Manager
V 2.0	01/01/2018	Minor changes in assigned roles and responsibilities, in addition to the process flow.	Chief Operating Officer

Staff Performance Appraisal Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Jul. 2019
		Next Review Date	Jul. 2022

Purpose

This policy applies to all staff members of AU across all grades, colleges, and offices. It recognizes the mutual obligation of management and staff members to be responsible for their performance.

Policy Description

Objectives

1. Reconcile and cascade AU's strategic goals down to the individual levels.
2. Share and communicate performance expectations to all staff members.
3. Identify and recognize high performers and potentials in the University.
4. Identify staff members who do not meet the minimum performance standards.
5. Identify performance gaps and determine performance improvement strategies.
6. Link staff members' performance with rewards system.

Performance Appraisal Templates

1. The performance of staff members at all levels is assessed using a Performance Appraisal Template.
2. The template consists of two main sections; Section A – Objectives, and Section B – Behavioral Competencies.
3. A total weight of 100 is equally distributed among both sections, which are embedded in the forms, as elaborated in the table below.

Appraisal Criteria	Staff Members (All Grades 1-15)
Section A: Objectives	**60%**
Section B: Behavioral Competencies	**40%**

Section A- Objectives:

1. Across all grades, number of objectives is minimum of three (3), and the maximum should not exceed five (5) objectives.
2. An objective-setting meeting is to be scheduled between each staff member and his/her direct supervisor at the beginning of each academic year to discuss the objectives that the staff member is expected to achieve through the end of the year.

3. Objectives should be linked to the functional unit's main objectives directly or derived from them. They could involve special assignment or project as well.
4. Objectives should be Specific, Measurable, Achievable, Relevant and within Time-Bound (S.M.A.R.T. Objectives).
5. All objectives will have max weight of 40% and min weight of 10%– total weight divided on the objectives.
6. Objectives can be amended during the year due to justifiable changes that might arise during a given year. The direct supervisor shall communicate the change with the staff and officially inform the Office of Human Resources in order to incorporate such changes.

Section B- Behavioral Competencies

Behavioral Competencies are categorized into Core and Leadership competencies.

1. The staff member and his/her direct supervisor will select from a list of behavioral competencies.
2. A number of 6 (six) behavioral competencies, being the most relevant to the staff's job description and work nature, shall be jointly agreed between each staff member and his/ her direct supervisor, to be used as part of the annual performance appraisal of each staff.
3. 40% of the total overall weight is distributed among the six (6) behavioral competencies in different weights, max 40%, and min 10% per competency.
4. Staff members who fall within grades 1-11 must select only Core competencies.
5. Staff members who fall within grades 12-15 can select a mix of Core and Leadership competencies.
6. Staff members will be evaluated against each behavioral competency by their direct supervisor/manager/dean at the end of the academic year.
7. Once behavioural competencies are pre-defined for the staff, they may not be changed during any given academic year. However, behavioral competencies can be revised/ changed from one year to another.

Please check Appendix-A for full list and description of the Core and Leadership competencies.

Planning Phase

1. The Office of Human Resources announces to all deans, managers and staff members the Performance Appraisal commencement (usually at the beginning of the academic year).
2. The Office of Human Resources distributes by email to all respective Deans and Managers the relevant Performance Appraisal (PA) forms along with the list of personnel to be evaluated, submission deadline, and any other related documents,
3. The Deans/ Managers run orientation sessions with all related staff members in their Colleges/ Offices to provide general guidance on the evaluation process, determine areas of importance, prioritize objectives, and suggest the behavioral competency expectations.
4. The staff members shall fill in the PA forms (soft copies), and then forward to their direct supervisor who will review the forms, and cosult their area cabinet memebr before being finally forwarded to the Office of Human Resources.
5. The office of Human Resources shall obtain and review all the forms submitted, and communicate with concerned Colleges/ Offices in case any changes/ modifications are needed.

Evaluation Phase

1. The Office of Human Resources announces to all deans, managers and staff members the End-of-Year Evaluation Phase (usually by the end of the Spring semester).
2. The Office of Human Resources will send via email the soft copies of the performance appraisal forms to the respective deans and managers across different colleges and offices.
3. The deans and managers will forward the PA forms to all staff members in their colleges and departments.
4. Individual meetings shall be conducted between the supervisors and staff members to discuss the appraisal of their performance and reach a consensus on the rating. In case of disagreement on the rating, the supervisor's rating will be considered and filled in the rating column.
5. Finally, both staff and his/her direct supervisor shall sign the form,
6. In case the staff doesn't agree on the rating; she/he can select the option of "disagree" to the rating and then sign the form.
7. Upon the completion of ratings, the forms shall be forwarded to the area cabinet member for their review and approval before they are submitted to the Office of Human Resources.
8. The Office of Human Resources shall review and validate the ratings for final consideration, before an official notification on the final PA rating can be sent to each staff member by email, with a copy to his/her direct supervisor.

Confidentiality of PA Results

The individual performance rating is confidential and represents part of personal information. Staff members may not share their or other staff's performance rating, unless being discussed for the purposes of grievance or re-evaluation by an official individual or committee as assigned by the top management.

Changes of Employment Conditions

In case of staff member being promoted or transferred to another role during the academic year, the following measure applies:

1. If the period spent in the new position is less than 3 months at the time of PA, the previous supervisor will be responsible for staff's performance evaluation.
2. If the period spent in the new position is from 3 to 6 months at the time of PA, there should be a combined evaluation from both supervisors – previous and the new one. The final evaluation shall be jointly agreed by both supervisors.
3. If the period spent in the new position is more than 6 months at the time of PA, then the new supervisor will be completely responsible of evaluating the staff member.

Performance Ratings: The performance ratings are divided into five (5) categories:

Outstanding (O)

Staff members are excelling in their role, consistently exceeding all their objectives' requirements and having an overall significant impact. Star Performers are contributing to organizational performance.

Exceeds Expectations (E)

Staff members are delivering excellent performance and consistently exceeding most of their objectives' requirements.

Meets Requirements (M)

Staff members are delivering strong performance and meeting most of their objectives' requirements.

Needs Improvement (NI)

Performance did not consistently meet all set standards and expectations, or there was a need for marginal improvement in one or more of the most critical objectives/competencies.

Does Not Meet Expectations (DNM)

Consistently below average performance where standards were not met in most essential areas of responsibility.

Performance Rating Validation

1. A rating of "Meets Requirements" (M) is the expected rating for the majority of staff members. A normal distribution test will be conducted by the Office of Human Resources per each college and office to ensure the compliance of results to the normal distribution.
2. For any employee receiving an overall rating of (O) or (NI), the direct supervisor should clearly justify the ratings by submitting additional relevant details; supporting documents, description of extraordinary achievements or failure situations of the job requirements, specific incidents of good or bad behavior, problematic areas, …etc.
3. A specialized PA Committee shall be formed by the top management to conduct a comprehensive review of the overall PA results to ensure clarity, transparency, and reasonable distribution of the results. The committee may call for meetings with any of the managers or staff to review and validate any PA results.

Please refer to Appendix-A and Appendix-B for further details on the rating in relation to the specified evaluation criteria.

Resolving Appraisals Conflicts:

1. If any staff member is not satisfied with his/her performance appraisal's final rating, he/she may request an appointment with their direct supervisor to discuss this matter.
2. If no compromise is reached, and the staff member still believes that he/she had been subjected to any type of discrimination, personal judgement, biased rating, harassment or unfair treatment during the performance appraisal process, the staff may raise an official complaint in writing to the Office of Human Resources. The complaint/appeal letter to be submited within two weeks from the time receiving the final appraisal results.

3. Accordingly, the Office of Human Resources will review the matter and set a meeting with both parties to resolve and then finalize the issue.
4. If the dispute persists, the Office of Human Resources shall escalate these cases to the PA Committee for discussion and recommendation to the the COO – Chief Operating Officer for a final decision.

Performance Appraisal Consequences

1. The Annual Performance Appraisal rating shall be used to determine any incentive related benefit; either being a continuing merit increase or a one time bonus.
2. The top management shall decide and announce such incentive scheme upon the completion of the PA process, along with the eligibility criteria to such incentives based on the performance ratings. However, the decision of whether to announce such an incentive scheme or not is completely discretionary as it relates to financial performance and budget availability.
3. As for those who are rated with "Does Not Meet Expectaions" (DNM), the management reserves the right to decide on their continuity at work or any other relevant disciplinary action.
4. Staff members whose services end (i.e., resigned or terminated) before the end of the academic year shall not be entitled to any kind of incentives (i.e., bonuses).
5. Staff members who are eligible to any other type of an incentive scheme are not entitled to any bonus-based incentive scheme. However, they are still entitled to a merit increase, if announced by AU management, and based on the PA ratings.

Eligibility of Participation in the PA Program

1. All full time contracted staff members who have been employed and have worked for a minimum of (6) six months, and completed their probationary period during the same academic year are entitled to undertake performance appraisal with their direct supervisors. The direct supervisor is expected to define the relevant objectives and behavioural competences, agree with the staff member, and communicate the same with the Office of Human Resources.
2. The following categories are excluded from the PA program:
    - All who work at AU on consultancy contract basis.
    - Part Time staff members.
    - Staff members who didn't complete the probationary period.
    - All staff members whose accumulated leaves during the year (either being annual, sick, or any other type of leaves) exceed a period of 6 months.
    - Personnel serving as trainees or on voluntary basis.

Appendix A

Core Competencies dictionary with detailed explanation of what each rating represents in relation to the specified evaluation criteria.

1.	Communication Skills
O	Presents an open and accepting person that allows even the most reluctant person to express his/her views; encourages an open exchange of ideas and different points of view; delivers accurate, clear, and concise messages that inform and frequently persuade audiences to take action; adapts style appropriately, the needs of diverse audiences and/or complex situations.
M	Actively listens to co-workers and customers to put him/herself in other people's shoes to gain a better understanding; Communicates intentions, ideas and feelings openly and directly; Consistently delivers accurate, clear, and concise messages orally and/or in writing to effectively inform an audience; Listens attentively to the speaker and actively asks questions to confirm understanding and avoid miscommunications.
DNM	Talks over others; demonstrates an unwillingness to listen to others and is "stubborn" in holding on to his/her own perspective without considering other people's views and insights; Develops written and/or oral communications that are confusing, misrepresent the facts; assumes others understand what he/she is trying to communicate and moves forward in his/her communications without confirming others in understanding.

2.	Accountability
O	Exceeds his or her commitment to others by frequently delivering work early; Presents oneself as a polished professional who exemplifies success and credibility. Generates enthusiasm among team members for accomplishing shared goals. Holds a strong commitment to exceeding the expectations for how the institution should provide service to its customers.
M	Follows through and meets personal commitments to others on time; Consistently presents a calm, competent, and professional image to the public and other State employees; Commits to the institution's goals and finds ways to get team members more involved toward accomplishing its objectives; meets the expectations for quality, service, and professionalism.
DNM	Rarely meets commitments to others; Always presents oneself in a way that is inconsistent with the image the institution wants to portray; Dismisses the importance of his/her responsibilities and the connection between his/her job and public perceptions; Fails to take ownership of personal or team performance; refrains from coaching team members to improve performance.

3.	Customer Service Skills
O	Takes extraordinary action to meet customer needs when required; Maintains positive, long-term working relationships with clients; is adept at focusing individualized attention resulting in consistent, high-level customer satisfaction. Regularly updates customers' needs and quickly adapts solutions as needed. Consistently exceeds customer expectations by applying a solid understanding of what customers need and value.
M	Follows through on customer commitments despite time pressures or obstacles; Develops relationships with customers that are marked by attention and customer satisfaction; Seeks out customer input to better understand their needs; develops ideas for how to meet those needs; Demonstrates a solid understanding of customer needs by consistently meeting their expectations.
DNM	Always fails to follow through on customer commitments; does not develop any relationships with customers; Does not seek new ways to enhance the customer relationship with new service offerings; Does not demonstrates a fundamental understanding of customer needs in his/her daily work; does not meet customer expectations.

4.	Commitment to Quality
O	Manages own time exceptionally well and frequently completes tasks early and with higher-than-expected quality; Frequently uses fewer than expected resources while still delivering high-quality work on time, resulting in cost savings or improved efficiencies.
M	Manages own time well in order to complete allocated tasks on time and with high quality; Uses resources as expected, resulting in quality work that stays within established budgets; Establishes clear, specific performance goals, expectations, and priorities.
DNM	Always tends to secure and/or use more resources than are needed to complete a task, which results in budget deficits; is always apathetic before difficult problems; always sets unrealistic goals - goals that are either too easy or too difficult to achieve.

5.	Initiative
O	Takes the initiative to complete assignments early; consistently exceeds expectations regarding the timing of deliverables; Successfully completes tasks with minimal guidance from his/her supervisor. Demonstrates the ability to complete unfamiliar tasks independently.
M	Completes assignments without the need for prompting from his/her supervisor or others; Seeks out information on his/her own initiative; may need to follow up with his/her supervisor for guidance or direction; Successfully completes most tasks independently but asks for additional support, as appropriate, when faced with unfamiliar tasks or situations.
DNM	Always needs reminders to complete work assignments; Always wait until his/her manager provides a complete set of information before proceeding with assigned tasks; Always tend to unnecessarily involve others in his/her work or not involve others when it is appropriate.

6.	Teamwork
O	Motivates team members and promotes values of working together as a team; encourages employees, students and faculty members to build relationships and cooperate across teams. Builds consensus within individuals across departments/groups/teams; gives clear direction during cross-departmental collaborations.
M	Works collaboratively with all team members to integrate individual perspectives; provides encouragement and acknowledgement of others' contributions and inputs. Communicates within and across teams/ departments to break down barriers and achieve team goals; takes on the role of expert or leader when necessary.
DNM	Do not value the importance of working collaboratively with other colleagues/Offices/Colleges; Always reluctant to share information/data with others; Always tend to work alone and do not like to share credits with their team members.

7.	Flexibility and Adaptability
O	Demonstrates understanding of the rationale for and importance of the change and advocates for change. Quickly and resourcefully adapts to multiple changing work demands by adjusting team/group/office priorities to fit new circumstances. Takes responsibility for achieving University/office performance objectives under changing circumstances, utilizes different opinions to expand own knowledge and perspective.

M	Seeks information to understand the rationale for and importance of change. Adapts quickly to competing demands and shifting priorities, and modifies viewpoints and direction in light of new information. Listens to and considers other colleagues, staff and students' view points and is open to considering new ways of doing things.
DNM	Do not take any effort to understand the rational behind change and its importance. Resist and does not accept change easily.

8.	Analytical Skills
O	Breaks down complex problems into smaller and more manageable parts in order to better identify better issues. Analyses data and makes connections towards proposing high value-added solutions. Analyses variables and situations from different points of view while constantly developing new schemes to connect different variables and data. Understand the causes of the problem and identifying long-term solutions and related consequences.
M	Follows a logical and organized approach to gathering data and analyzing situations. Uses systematic and structured approach to investigate, organize and analyses data. Puts a problem in context and uses critical judgement by taking a logical approach to problem solving.
DNM	Weak ability in identifying issues and obtaining relevant information to analyze and identify alternative solutions to those issues.

9.	Fostering Relationships
O	Develops a broad base of relationships by seeking out individuals inside and outside of the department; begins to build external relationships with customers. Grows relationships with key organizational influencers and customers by building credibility and trust. Extend and enhance social networking sites. Collaborates with others across a network of internal and external contacts to achieve goals across the teams.
M	Initiates and develops relationships with key individuals within the organization. Builds relationships through mutual sharing and on-going contact.

DNM	Not good in building a good relationship with the internal and external customers. Not seen as a team player and often fails to achieve individual and departmental goals due to weakness in communication/negotiation and collaboration with others.

10.	Objectivity
O	Ensures that individual and departmental goals are achieved in a fair and ethical manner. Adopts plans and organizes work to manage priorities. Acts and makes decisions that have direct impact on the departmental goals that serve the overall benefit of the department /University regardless of own and others personal opinions.
M	Accomplishes tasks assigned by direct supervisor in the manner that is outlined. Makes decisions that impact own work in a fair and impersonal manner.
DNM	Subjective, cannot evaluate situations objectively. His/her decisions often influenced by the opinion of other people around him/her.

11.	Effective Decision Making
O	Looks beyond obvious solutions, considers multiple options and integrates input from multiple sources before making decisions. Monitors the execution of the decisions taken. Analyses the interconnections among decisions; considers resource availability and organizational objectives when making decisions.
M	Incorporates personal work experiences with available information to make non-routine, more advanced decisions. Balances making decisions independently versus seeking inputs from others; escalates complex decisions to appropriate organizational level. Considers the short-term implications of decisions and learns how to identify the longer term implications.
DNM	Do not attempt to collect relevant information, which is useful in making decision, or to produce alternative solutions to issues that may rise.

12.	Conflict Management
O	Manages conflict productively, encouraging diverse opinions and highlighting common ground; views conflict as an opportunity to address issues openly and build mutual understanding. Diffuses tense, emotionally escalated situations in a productive manner. Uses various techniques to resolve conflicts in a fair and positive manner to ensure mutually beneficial outcomes.
M	Maintains composure during a conflict, asking questions to better understand others' views, needs, and interests. Openly discusses disagreements with others in working relationships. Provides suggestions for ways to resolve conflicts between co-workers and mediates disagreements between others when progress is delayed.
DNM	Weak in managing disputes and handling conflicts in fair and positive/respectful manner.

13.	Planning and Organizing Skills
O	Identifies opportunities for synergy in goal setting by looking for new ways to organize assignments/ projects and tasks to improve results. Creates detailed project plans that include breakdown of tasks, milestones, resources and budget, timeliness and assignment of responsibilities. Conducts project reviews at critical milestones to determine team progress and to adjust the plan if necessary.
M	Sets project goals and ensures that individual goals are aligned with team goals. Coordinates plans and integrates timelines with other team members as needed. Consistently meets individual deadlines, tracks milestones and delivers results.
DNM	Fails to plan and organize his/her work, and to prioritize tasks in order to maximize the utilization of time and resources.

14.	Cultural Awareness/ Orientation
O	Demonstrates interest in cultural differences, adapting own behavior to others' cultural convention. Encourages colleagues and students to understand and respect cultural differences. Addresses inappropriate behaviors among colleagues or students. Promotes and encourages others to respect and promote local culture and traditions.

M	Learns about cultural differences to identify and remove barriers for getting work done. Demonstrates fairness and avoids biased decisions when providing support to anyone based on factors other than professional related criteria. Accepts and respects local culture and traditions and acts accordingly.
DNM	Do not attempt to learn about other's culture and do not show respect to other cultures identity and differences.

15.	Continuous Learning and Development
O	Actively engage self in development activities and serves as a role model for continuous self-improvement. Encourages colleagues, students to learn from each other's' experiences. Encourages others to participate in learning opportunities and incorporate learned skills and behaviors. Supports a culture of continuous self-improvement by creating learning opportunities within the Department/ University.
M	Establishes personal growth goals and realistic career and development plans. Proactively seeks out and uses feedback from others for self-improvement. Identifies opportunities to improve and grow, balancing performance feedback and career development.
DNM	Do not show any interest or participate in learning activities. Do not like to gain new knowledge and skills nor encourages others to do so.

16.	Results/ Goals Orientation
O	Seeks progressively more challenging short- and long-term goals and responsibilities; pushes the subordinates/ students to work towards their goals. Regularly assesses the extent to which goals have been achieved for the team; ensures that goals are met by tracking results and milestones.
M	Establishes individual goals that stretch own capabilities. Displays the appropriate sense of urgency in accomplishing goals; persists in taking action, remaining focused on individual results. Measures own work to track progress against goals; seeks assistance to choose corrective actions.

DNM	Fails to focus on individual and/or departmental goals and objectives.

17.	Attendance and Punctuality
O	Knows how to manage time in most efficient way by setting priorities – Put important things first. Avoids time wasters and manages to meet objectives/tasks on-time. Planning the annual vacation ahead of time and timely return to work.
M	Follows all the rules and regulations related to the “Attendance Policy”. Comes to work on-time, punctual on daily/weekly duty shifts. Completes all the required tasks on-time. Do not take long or unnecessary breaks from the work. Avoids any unplanned vacation interruptions.
DNM	Often come late to work with and without permission. Do not properly plan for annual leaves. Fail to meet deadlines.

Appendix-B

Leadership-Competencies dictionary with detailed explanation of what each rating represents in relation to the specified evaluation criteria.

1.	Effective Management
O	Motivates staff to commit to the University's mission and strategy; Consistently provides subordinates'/ students with opportunities to stretch their capabilities and provides coaching as needed; Monitors the performance of direct reports on a continuous basis; provides constructive performance feedback when staff need improvement.
M	Creates a clear line of sight between employees' individual goals and the University's strategy and mission. Accurately assesses subordinates'/ students' performance and capabilities and provides for additional resources as needed for them to succeed. Provides frequent performance feedback to team members as tasks are completed.
DNM	Are ineffective in communicating departmental objectives to the team, and assigning tasks/goals to the individuals. Do not follow up on the progress of employees' performance through the year, thus fails to provide feedback and directives to the subordinates.

2.	Leading and Managing Change
O	Manages change exceptionally well, exceeding implementation requirements and providing the opportunity to exceed expectations on other objectives. Coaches others in techniques for evaluating change initiatives within AU. Energizes others to generate support within the workforce.
M	Implements changes successfully within established timeframes without disrupting progress toward other objectives. Identifying long-term adjustments. Shows enthusiasm and confidence in new ideas and generating support for change initiatives among co-workers.
DNM	Fails to implement change initiatives on time without tracking the effects of the change; fails to verbalize support for a change initiative and does not show enthusiasm, confidence, or belief in the change through actions.

3.	Strategic Thinking
O	Communicates the strategic direction in such a way that staff, at all levels, fully understand their role in achieving AU's goals; engages direct reports regularly about customers, so they understand their importance. Revising or modifying existing standards/methods for implementing changes; has an established reputation for being an innovative and creative problem solver. Willing to help others and solve problems that are not necessarily linked to his/her own office/area.
M	Ensures direct reports understand the AU's vision and goals by translating those goals into day-to-day practices. Uses established standards/methods to solve common problems; responds to recurring problems by investigating the underlying causes and taking steps to eliminate them; Delegates decision-making responsibilities to the appropriate organizational level and holds decision-makers accountable for the results of their decisions.
DNM	Fails to communicate the AU's vision or fails to explain the broader business purpose to the team. Tends to jump to solutions without analyzing and understanding problems; Tends to make decisions about the day-to-day operations of the organization that could be handled at a lower organizational level.

4.	Team Leadership
O	Encourages a sense of mutual accountability in team settings that motivates individuals to do his/her best for each other and exceed goals; Identifies the most important priorities for the team and focuses attention effectively; Helps team members develop their ability to anticipate problems. Effectively gives constructive feedback, even when the message is extremely difficult to deliver.
M	Involves team members in defining ways to achieve desired results and defining expectations about how team members will work together. Sets clear goals for the team members and coach them how to successfully navigate around them. Provides feedback regarding both strengths and development needs regularly.
DNM	Fails to involve his/her team in defining goals and planning the ways to achieve team success; Sets goals for the team but does not communicate those goals to get everyone "on board." Does not anticipate any potential problems or/and provide any feedback to the team members.

5.	Business Alignment
O	Consistently links organizational goals with his/her personal/departmental goals and shows a common understanding of the purpose and goals of the organization. Regularly sees the long-range, big-picture and conveys it to the team members.
M	Links organizational goals with his/her personal/departmental goals and shows a common understanding of the purpose and goals of the organization. Sees the long-range, big-picture and conveys it to the team members.
DNM	Does not link organizational goals with his/her personal/departmental goals or show a common understanding of the purpose and goals of the organization. Never sees the long-range, big-picture and conveys it to the team members.

6.	Delegation and Empowerment
O	Creates a culture of ownership and delegation by giving individual authority and responsibility to others; Provides input and suggestions to other leaders within the Office/ University regarding efficient delegation and staffing decisions.
M	Empowers direct reports to make independent decisions and judgments regarding their assignments within the Office/ University.
DNM	Do not delegate or/and empower their direct reports due to lack of trust in their subordinates and feeling of insecurity. Do not put any effort into developing the staff members in order for them to be capable of handling more critical and advanced tasks.

7.	Strategic Decision Making
O	Uses knowledge of the business model, and challenges assumptions and conventional thinking to develop new strategies for the office/University. Communicates the University's vision to the office. Ensures that others understand the implications of decisions; monitors the execution of the decisions taken.

M	Considers different future scenarios, opportunities, and risks to generate operational plans that align with the University's strategic vision. Translates the office/ University's vision and goals into clear, specific, and achievable objectives. Considers the short-term implications of decisions and learns how to identify the longer-term implications.
DNM	Fail to recognize the short and long-term objectives of the organization, which result in poor decision-making, which in turn lead to undesired consequences.

8.	Visionary Leadership
O	Takes a long-term view of the University and develops strategies that will result in the fulfillment of the mission. Generates motivation and commitment among staff by creating a line of sight between their contributions and how they affect the University's strategic goals.
M	Develops effective short-term plans that assist the University in reaching its strategic goals. Has a basic understanding of the University's future state. Creates motivation and commitment by connecting people to assignments/ projects based on interests, abilities, and professional developments.
DNM	Do not recognize the importance of understanding the future challenges that might affect the existence and the continuity of AU. The focus is only on the current situation/objectives and almost no focus on the future.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	18/08/2013	Initial Policy – outlines necessary guidelines and forms for staff evaluation.	Vice President
V 2.0	10/07/2017	New Policy – Institutional goals orientated, simplified process and procedure.	Chief Operating Officer
V 2.1	21/07/2019	Minor change – evaluation weight criteria change	Chief Operating Officer

Staff Promotion Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

Purpose

Ajman University (AU) has adopted a promotion policy to foster the advancement of its Staff Members within the University by recognizing Staff Member contribution to the University and providing growth opportunities. The policy also helps build a healthy talent pipeline of high performing Staff Members and is applicable to all staff members at AU

Statement

The promotion policy is based on the recognition that in the course of meeting University goals and objectives, the duties and functions of a Staff Member may change in complexity and responsibility. Promotions therefore, are based on status changes that involve increasing responsibility levels. The added benefits of promotion serve as an incentive for better work performance, enhance morale and create a sense of individual achievement and recognition. The guidelines listed in this policy are designed to make the process fair and equitable to all, regardless of rank and category.

Policy Description

OBJECTIVES

- Recognizing Staff Members who display strong performance, by providing them with opportunities to grow within AU and subsequently build a high performance culture that is merit-oriented and objective;
- Providing equal opportunities to AU Staff Members, utilizing their performance in the best manner, and engaging the Staff Members by establishing concrete criteria for advancement and development;
- Ensuring proper utilization of Staff Member's experience, training, aptitude and educational qualifications;
- Guarantee that all Staff Members are provided with fair promotion opportunities in accordance with the guidelines mentioned in this policy;
- Provide Supervisors/ Reporting Managers clarity on the promotion process and required criteria

EXCEPTION

There shall be no exceptions to this policy. All exceptions and deviations (if any) to this policy will require the approval of the C.O.O.

GLOSSARY

Terminology	Description
AU	Ajman University
Promotion	Performance driven movement of Staff Members from their current grade to a higher grade, whether within the same Office/ Department or to another Office/ Department
HR	Office of Human Resources
Line Managers	- Dean shall be considered as the Line Manager in Academics; - Director/ Manager shall be considered as Line Manager in Administration;

KEY ROLES AND RESPONSIBILITIES

Chief Operating Officer (C.O.O):

a. C.O.O shall ensure that the 'Promotion Policy' is in conformance to the strategic goals and direction of AU;
b. Overseeing adherence to the promotion policy and guidelines;
c. Approving the recommendations regarding Staff Member promotions.

Office of Human Resources:

a. HR shall own, manage and upgrade (from time-to-time) the 'Promotion Policy";
b. Working with Supervisors/ Reporting Managers to identify promotion candidates;
c. Seeking all relevant approvals for the promotion;
d. Documenting and communicating all changes to staff members' role and entitlements after a promotion.

Supervisors /Reporting Managers:

a. Tracking Staff Member performance;
b. Identifying and nominating Staff Members for promotion;
c. Providing required inputs and documentation to support the promotion nomination.

Personnel Affairs Committee

a. Objectively reviewing and agreeing on successful Staff Members for promotions
b. Managing and evaluating any deviations/ exceptions from the policy

PROMOTION POLICY DETAILS

POLICY GUIDELINES

- Promotion as per the provisions of this policy is the movement of a Staff Member from his/ her current grade to a higher grade, involving more complex duties and greater responsibilities.
- Promotions might carry higher pay and/ or offering better privileges whether within the same Department/ Office or to another Department/ Office.

- Promotions allow Staff Members to enhance their roles and responsibilities and shall be based on availability of an open position, which may occur as a result of the following:
    - The existence of a job vacancy in the higher grade for which the Staff Member is being considered for;
    - A new position is created in AU due to organization restructuring or University expansion;
    - Upgrade of an existing job through job evaluation, which in turn leads to upward movement in grades.

PROMOTION ELIGIBILITY CRITERIA

- Candidates eligible for promotion shall be identified by the Supervisors/ Reporting Managers, based on performance record in the current role, ability to take on additional responsibilities and documented proof of pre-requisite skills and credentials for the new role.
- Any Staff Member nominated for promotion shall meet the following criteria:
    - A Staff Member has consistently good performance evaluations for the past 2 performance cycles and their Manager deems them ready for the next step in their career
    - Minimum level of educational qualifications required for the new role, including the minimum number of relevant experience years;
    - Must have worked at AU for at least 12 months in the given role;
    - Fulfill requirements stated in the job description of the new role;
    - Ensure that a period of twelve months has elapsed since the date of the last promotion.

EXCEPTIONS AND EXCLUSIONS

- A Staff Member who has been subject to a disciplinary action may not be promoted during the validity period of such disciplinary action.
- Length of service is not a qualifying criterion for promotions, and meeting all the above stated criteria is not a guarantee for being promoted.
- When Staff Members have equal past performance track records and experience, the priority shall be given to the one who has a higher educational qualification and/or has additional professional or specialized qualifications related to the job, as the case may be
- In case they are still equal in all the above criteria, the recommendation regarding promotion of the Staff Member shall be submitted to the Personnel Affairs Committee that has the authority to recommend the promotion of the most suitable Staff Member for the job
- Any exceptions will need to be supported with a strong business case indicating the Staff Member's exceptional performance and readiness for promotion, by the Supervisors/ Reporting Managers and/or Manager of Office.
- Such requests shall be reviewed jointly by the Personnel Affairs Committee. Some examples of exceptions include:
    - Mid-year promotion;
    - Promotions due to unplanned critical skill vacancies during the year;

- A Staff Member acquires a credential (Degree, License, etc.) which allows him/her to take on more responsibilities;
- Creation of unplanned critical new position in AU, which requires to be filled on an urgent basis.

- In all such exceptional cases, the Personnel Affairs Committee will evaluate to see if the business, organizational, fiscal and legal implications of the exception are fully explained and justified, before taking any decisions.

PROMOTION INCREMENTS

- Promotion shall take effect from the issuance date of promotion decision and may not be implemented retrospectively.
- The promoted Staff Member shall receive an increment, which shall be in accordance to the business norms for the year.
- The new salary including the proposed increase shall not exceed the maximum limit of the grade promoted to. If it becomes clear that the salary of the promoted Staff Member shall exceed this maximum limit, his/her salary shall be capped at that limit.
- The promoted Staff Member shall be entitled to benefits of the grade he/ she occupies as of the date of promotion.

GENERAL PROCEDURES

- The promotion window shall start at the end of the performance management cycle at AU, once all Staff Member performance ratings have been finalized by the respective Supervisors/ Reporting Managers and Deans.
- In the case of large functions, all recommendations regarding promotions shall be submitted by the Supervisors/ Reporting Managers to the concerned Manager of the Office, while keeping in mind the promotion eligibility criteria.
- The Office of Human Resources shall review the consolidated nomination lists submitted and shall ensure all promotion candidates meet the eligibility criteria. In case one or more candidates do not meet the eligibility criteria, the Manager of the Office and/or respective Supervisors/ Reporting Managers shall be requested for more information/ justification if they still wish to support the candidate/s for promotion.
- To facilitate the promotion decision, the Office of Human Resources shall prepare a shortlist of all candidates including all relevant information (ratings, skills, available promotion opportunities whenever needed).
- The Personnel Affairs Committee with consultation of the Office of Human Resources shall approve/ reject the promotions put forward.
- The Manager of the Office and/or Supervisors/ Reporting Managers shall be notified of all approved and rejected promotions by the Office of Human Resources through a memo.

- The Supervisors/ Reporting Managers shall ensure smooth transfer of the successful Staff Member into the new role and shall oversee any required handover of duties.
- An official letter shall be issued to the Staff Member by the Office of Human Resources, informing about the promotion and change in staff member status as well as the effective date of promotion and salary adjustments.
- The Office of Human Resources must document any promotion changes in the Staff Member's file.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	18/08/2013	Initial Policy	Vice President
V 2.0	04/02/2018	New Policy guidelines and procedure	Chief Operating Officer

Personnel Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Sep. 2017
		Next Review Date	Aug. 2020

Purpose

- To ensure that the employment records of faculty members and professional staff are well maintained.
- To comply with the rules and regulations of the Ministry of Labor and Social Affairs in the UAE concerning all required documents.

Statement

The Office of Human Resources at AU is responsible for proper maintenance of employees' records including those for faculty and professional staff. Complete records are maintained for each faculty member and professional staff employed by the University. These include original or officially attested documents of academic preparation, the original signed contract, contractual terms, academic position, a copy of the passport and copies of other documents required by the Ministry of Labor and Social Affairs in the U.A.E.

a. The Office of Human Resources at AU is responsible for verifying the authenticity of all degrees and letters of references provided by the faculty and professional staff.
b. The Office of Human Resources shall always maintain and update complete records for each faculty member and professional staff employed by the University.
c. The Office of Human Resources will ensure that for each faculty member and professional staff, the record include original or officially attested documents of academic preparation, the original signed contract, contractual terms, academic position, a copy of the passport and copies of other documents required by the Ministry of Labor and Social Affairs in the U.A.E.
d. It is the responsibility of the Office of Human Resources to ensure that the required documents are updated as and when required in accordance with the rules and regulations of the Ministry of Labor and Social Affairs in the U.A.E.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Human Resources Manager
V 2.0	03/09/2017	Reviewed – no change	Human Resources Manager

Faculty Workload Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Feb. 2018
		Next Review Date	Jun. 2020

Statement

The assignment of faculty workloads is intended to be used, as a comprehensive guideline for academic departments when assigning workloads to individual faculty members and it is defined as the total of the instructional, scholarly, and professional service activities rendered to AU by its faculty. It encompasses instruction, advising, committee work, and thesis supervision, guidance of student organizations, research, service, and curriculum development.

The assignment of workloads is therefore organized on the following principles:

a. For non-terminal degree holders teaching in undergraduate certificate, diploma, associate degree and baccalaureate programs, the maximum teaching load is 15 credit hours per semester.
b. The maximum teaching load for full-time faculty members is 12 credit hours per semester for undergraduate programs and 9 credit hours per semester for graduate programs.
c. The teaching load of part-time faculty members is limited to a maximum of 6 credit hours per semester.
d. The release time from teaching for the Deans of Colleges is 6 credit hours, while it is 3 credit hours for the Heads of Academic Departments.

In compliance with Stipulation 8 in the CAA standards, the University has initiated the process of modifying its course load assignment to faculty members. All credit hours of any course that includes an embedded practical component (e.g. Lab) shall be entirely and exclusively assigned to faculty members holding terminal degrees in the discipline. The said faculty members will be totally responsible for their assigned courses. They will also be responsible for overseeing the Teaching Assistants who will be helping them in some of the lab and/or tutorial parts of the course. Teaching Assistants will not have any part of the course credit hours assigned to them.

The University requires a minimum number of registered students in a section to be opened. However, if under exceptional circumstances, a section is to be opened with a number of registered students below the required minimum number, the section will be counted for the instructor as a regular section within his/her regular load, regardless of the number of students registered in that section.

Adjunct Faculty Members and Overload Rates Matrix

The AFM's classification criteria intends to help the College Deans in determining the pay category (i.e. Category A or B):

Externals: Adjunct Faculty Members

(Category A)

- AFM's employed by well-established universities /prestigious organizations.
- AFM's gained their degrees from reputed universities with very high standards.
- Wide experience with certain preferred skills and /or qualifications.

Difficulty /scarcity to hire and retain in a specific specialization.

Rates (Per All Semesters)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 4480	AED 2880 *	AED 8960	AED 5760 *	AED 13440	AED 8640 *
Master holder	AED 3840	AED 2560	AED 7680	AED 5120	AED 11520	AED 7680
Bachelor holder	AED 2560	AED 1760	AED 5120	AED 3520	AED 7680	AED 5280

(Category B)

Rates (Per -All Semesters)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 3200	AED 1920 *	AED 6400	AED 3840 *	AED 9600	AED 5760 *
Master holder	AED 2400	AED 1600	AED 4800	AED 3200	AED 7200	AED 4800
Bachelor holder	AED 1760	AED 1200	AED 3520	AED 2400	AED 5280	AED 3600

Regular Faculty Members: Residents, Visitors:

Rates (Per All Semester)

	One Hour Course		Two Hours Course		Three Hours Course	
	Theory	Lab/Tutorial	Theory	Lab/Tutorial	Theory	Lab/Tutorial
PhD holder	AED 4480	AED 2880 *	AED 8960	AED 5760 *	AED 13440	AED 8640 *
Master holder	AED 3840	AED 2560	AED 7680	AED 5120	AED 11520	AED 7680
Bachelor holder	AED 2560	AED 1760	AED 5120	AED 3520	AED 7680	AED 5280

Master Program: Regular faculty members and Externals (Adjuncts):

Rates (Per All Semesters)

	One Hour Course	Two Hours Course	Three Hours Course
Full Time Faculty Member	*AED 4800*	*AED* 9600	*AED* 14400
Externals (Adjunct)	*AED 4800*	*AED* 9600	*AED* 14400

- Rate of practical hour of Master Program – College of Pharmacy is AED 180.
- Rate of practical hour of Master Program – Institute of Energy, Water and Environment is AED 180.
- Rate of practical hour of Master Program – College of Dentistry is AED 200.

Note: Supervised Learning (Office Hour): AED 1000 for each B.Sc. course, AED 2000 for each MBA course.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	05/02/2018	New policy – allocation of workload hours / inclusion of Adjunct faculty / new Rates Matrix	Vice Chancellor for Academic Affairs

Professional Requirements for Teaching Policy

Policy Owner(s)	Human Resources Manager Senior Officer, Faculty Affairs	Responsible Office	Office of VCAA
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2019
		Next Review Date	Jul. 2021

Purpose

This policy ensures that:

- Preparation and qualifications/credentials of all faculty members, both full time and part-time, are appropriate to their job assignment in the University.
- Faculty members have an earned terminal degree from internationally recognized institutions of higher education.

Minimum expected academic or professional qualifications for different teaching levels are in accordance with those required by the Commission for Academic Accreditation (CAA).

Statement

It is the policy of AU to hire faculty members whose preparation and qualifications are appropriate to the field and level of their assignments. The faculty members must have terminal degrees earned from internationally recognized institutions of higher education. The terminal degree is a doctoral degree. However, in very special cases as specified by the UAE Ministry of Education, the terminal degree could be a Master's degree such as in art, design, and design-related disciplines.

For teaching in remedial programs, a baccalaureate degree in a discipline related to the subject taught, teaching experience in that subject, or graduate-level training in remedial education is required. For teaching courses in diploma programs, a baccalaureate degree in a discipline related to the subject taught and appropriate work experience is required.

- All faculty members employed in the University shall have preparation and qualifications appropriate to the field and level of their assignments.
- The faculty members must have terminal degrees earned from internationally recognized institutions of higher education.
- For teaching in remedial programs, a baccalaureate degree in a discipline related to the subject taught, teaching experience in that subject, or graduate-level training in that subject is required.
- For teaching courses in diploma programs, a baccalaureate degree in a discipline related to the subject taught and appropriate work experience is required. In addition, relevant professional certification may be required in some cases.
- For teaching general education courses such as the first two courses in English, Arabic, or other languages, and the first course only in Islamic studies, history, or culture; humanities, arts, social sciences, behavioral sciences, natural sciences, physical sciences, mathematics and information

technology: a Master's degree with a major in the discipline taught and one of the following is required:

- five years' teaching experience in the discipline;
- a combination of five years' experience in teaching or other employment related to the field;
- the equivalent of eighteen credit hours of graduate study in the field beyond the Master's degree;
- an internationally recognized professional credential (such as certification as a public accountant);
- at least one faculty member teaching in each program area holds a terminal degree in the discipline.

- For teaching courses in baccalaureate degree programs, a terminal degree in the teaching discipline, usually a doctoral degree is required. However, in some specific fields as approved by the UAE Ministry of Education, a Master's degree may be considered as terminal degree.
- For teaching courses in graduate degree programs, a terminal degree in the teaching discipline and either a strong record of (or the potential for) research and scholarly activity or significant professional experience as a practitioner in an applied discipline is required.
- In line with the guidelines of the UAE Ministry of Education Exceptions to the requirement for a terminal degree are limited to no more than 20% of all faculty teaching in any specific program; and are also limited to faculty members in applied fields who have a minimum of either:
  a) 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); or
  b) Experience in the applied field coupled with internationally recognized professional association certification (such as medical board certificate or Certified Public Accountant)
- Applications for exceptions to the requirement for a terminal degree are reported to the Commission as exceptions for approval prior to the start of the semester in which the faculty member will teach

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	08/09/2019	Minor amendments as per CAA new standard	Vice Chancellor for Academic Affairs

Compensation Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Purpose

The policy main purpose is to provide attractive, effective and market relevant remuneration and benefits rates to professional faculty positions, in order to attract and retain highly qualified and experienced faculty members for all University Colleges. In addition, this policy intend on making Faculty members aware of their rights regarding salary and benefits provided by the University.

Statement

The faculty member is entitled to the remuneration package mentioned in his/her contract along with specified annual increments. The package includes Basic Salary, Cost of Living Allowance, Furniture Allowance, Housing Allowance, Education Allowance, Research Allowance and Annual Tickets for travel by air. The University also provides health insurance for all faculty members. In addition, the faculty member is entitled to an End of Service Gratuity (one-month basic salary for every year of service at the University).

AU Faculty Salary Structure and Benefits

	Itemization	ACADEMIC RANK			
		Lecturer	Assistant Professor	Associate Professor	Professor
1	Salary Range	14,000-20,500	17,000-26,000	19,500-31,000	23,500-39,000
2	Housing Allowance (Monthly))	4,333	5,417	5,417	5,417
3	Furniture Allowance (over 2 years)	25,000	30,000	30,000	30,000
4	Education Allowance (maximum 3 children)	Max. 60,000	Max. 100,000		
		1st child 50% , 2nd child 25%, 3rd child 25%			
5	Ticket Allowance (for Expatriates)	Faculty member + 4 dependents Economy Class, except for Deans who are entitled to business class			
6	Health Insurance	100% coverage for Faculty + 4 dependents			
7	Social allowance (Applicable only to UAE nationals)	40,000	80,000	90,000	100,000

8	**End of Service Benefit (For Expatriates)**	One month basic salary for each year of service

- The faculty member is entitled to a monthly remuneration payable at the end of each Gregorian calendar month.
- The monthly remuneration comprises of Basic Salary and Allowances in accordance with the specified scales depending upon the academic rank, experience, and as specified in individual contracts.
- The faculty member shall also be entitled to the following benefits in accordance with the University's policies and bylaws:
    - Housing allowance
    - Furniture allowance
    - Health insurance
    - Education Allowance
    - Airline tickets
    - End-of-service gratuity
    - Sickness leave
    - Annual leave
    - Public holidays

- **Housing Allowance:** The faculty member shall be entitled to an annual housing allowance which shall be payable in monthly installments. The amount of this allowance depends on whether the faculty member is a Ph.D. holder or Master's degree holder.
- **Furniture Allowance:** The Faculty Member shall be entitled to the furniture allowance paid fully in one installment with the first salary. The eligibility of this amount is depreciated over two continuous years of work for the University; i.e. 50% per year.
- **Medical Benefits:** The faculty member, his/her spouse and three dependent children (male dependent age up to 18 and female dependent age up to 22), shall be entitled to a private medical health insurance scheme; provided by the University in accordance to its medical policy, that might be amended from time to time at the sole discretion of the University. A visiting Faculty member medical health insurance shall be 100% covered by the University, whilst the faculty member's spouse medical health insurance shall only be covered 50% by the University.
- **Annual Education Allowance:** AU resident faculty member is eligible for education allowance for up to three children, from KG1 to Grade 12, provided the children are UAE resident and are enrolled in UAE schools. The distribution of the allowance amount (depending upon the faculty member's rank) for each child shall not exceed the eligible cap. The education allowance is paid in two equal installments.
- **Air Tickets:** AU faculty member, the faculty member's spouse and three dependent children shall be entitled to one annual round trip economy class air ticket each to the faculty member's home country after completion of each year of service. This allowance shall be paid through cash transfer on the employee's employment anniversary, based on the rate provided by Office of Public Relations. The faculty member is not entitled to claim a pro rata portion of the annual air tickets if

the faculty member's employment terminates (for any reason whatsoever) prior to completion of a full year's service.

- End of Service Benefit: AU faculty member is entitled to an end of service gratuity calculated as thirty (30) days Basic Salary for each completed year of service, provided that the end of service gratuity shall not exceed the amount of two years' salary.
- The faculty member shall (in addition to any statutory public holidays announced for the United Arab Emirates) be entitled to paid holiday in accordance with the provisions relating to holiday leave as set out in the University's academic calendar, provided that such holiday leave shall not exceed the specified number of calendar days in each holiday year. The University's holiday year for faculty member is the academic calendar year.
- Subject to compliance with the University's procedures relating to the notification and certification of periods of absence from work, the faculty member shall continue to be paid salary and to receive other benefits provided under his/her contract during any periods of absence from work due to sickness, injury or other incapacity in accordance with the UAE labor Law.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	01/10/2014	Revised salary structure and benefits	Financial Controller
V 1.2	03/10/2017	Revised social Allowance for Emarati citizens	Chief Operating Officer

Non-Discrimination Policy

Policy Owner	The Cabinet	Responsible Office	Office of the Chancellor
Approved By	Chancellor	Effective Date	Nov. 2019
		Next Review Date	Aug. 2022

Purpose

Ajman University, in keeping with its values and in following the UAE Law No. 2 of 2015 against Discrimination, is committed to providing and promoting to all members of its community a safe educational environment that is free from discrimination and harassment. This policy applies to all members of AU community including administrators, faculty, students, and staff.

Definition

Discrimination, with the inclusion of harassment, is defined as treating or showing preference to a specific individual or a group of individuals based on nationality, sex, age, religious belief, race, color, or marital status; in matters of educational programs, recruitment, promotion, or access to institutional services.

Statement

- Ajman University, in accordance with UAE tradition and its core values, is committed to providing and fostering an environment that is free from discrimination and harassment, and which inspires tolerance and respect, as well as promotes diversity and transparency amongst its staff and students.

- Ajman University does not discriminate on the basis of nationality, sex, age, religious belief, race, color, or marital status. Hence, it is the policy of the University, with the commitment of its senior management, to prevent and not tolerate any unlawful or unfair discrimination in any matters related to admission, recruitment, or access to education programs or services. The policy warrants equal treatment and opportunity for staff and student (particularly students of Determination) in a multicultural environment such as the one in UAE where people from all over the world come to work, live and study.

- The University uphold a continuous commitment to take the necessary actions to advance its values of equality and diversity. It is the responsibility of senior management to champion this commitment and enforce it. University officials, deans and managers have therefore the responsibility to support the policy by ensuring impartiality and fairness in all their operations, and consequently promote a culture that is free from discrimination and harassment.

- Any member of AU community, who has witnessed or has been the subject of any type of discrimination and wishes to see it pursued and resolved, should report the incident through the applied university grievance procedures. Complaints for alleged discrimination are taken seriously,

and the University will take swift action to correct (when proven correct) its discriminatory consequences and avoid future recurrences. Discrimination incidents are reported using the following protocol:

a. **Faculty** can use the "Faculty Grievance Procedure" to formally raise their complaints.
b. **Staff** can raise their complaint by using the "Staff Grievance/complaint Procedure".
c. **Students** can formally submit their complaints through the "Student Complaints Procedure".

Academic Freedom

Ajman University asserts its commitment to academic freedom, as it recognizes its vital importance in the establishment of a fair and honest learning environment. This statement is intent on safeguarding, and not controlling the legitimate interest of AU community in exercising their right to teach and learn. Academic freedom applies to both teaching and research when exercised within the boundaries of conduct that does not violate the UAE anti-discrimination laws. The teaching aspect entitles faculty to freedom of discussion of course subject and students the freedom to learn, whereas the research aspect of academic freedom entitle faculty to freedom of advancement and dissemination of knowledge through their research work and the publication of results. The freedom of inquiry and expression are ensured for faculty, staff and students.

Since freedom entails responsibilities, faculty members are advised to accept the responsibilities associated with intellectual freedom and carry out their duties in accordance to the highest ethical, professional and legal standards. Those responsibilities are towards students, colleagues, University, and the larger community AU serves. For this purpose, AU has specified ethical guidelines for its faculty members to help them discharge their responsibilities in compliance with the University standards.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/11/2019	New policy	The Cabinet

Conflict of Interest Policy

Policy Owner	Human Resources Manager	Responsible Office	Office of Human Resources
Approved By	Chief Operating Officer	Effective Date	Dec. 2018
		Next Review Date	Aug. 2021

Purpose

The purpose of this policy is to establish guidelines for conflicts of interest or commitment that might arise in the course of AU employees' duties and external activities. This policy does not seek to unreasonably limit any external familial and social networking, external activities, but instead seeks to emphasize the need to disclose conflicts and potential conflicts of interest and commitment, to manage such conflicts and to ensure that the University's interests are not compromised. Hence, it is the responsibility of each individual (i.e.: faculty, staff member, or student employee acting on behalf of the University) to comply with legal and regulatory requirements associated with the job.

Statement

The University is committed to the highest standards of ethical behavior and strives to achieve an environment in which research and learning is accomplished with openness, honesty and respect. Each employee in AU owes primary professional responsibility to the University and must avoid any familial relationships, outside obligations, financial interests, or employment that can affect the objectivity of decisions as a member of the University community.

A conflict of interest is a situation in which financial or other personal considerations have the potential to compromise or bias professional judgment and objectivity. All members of AU community must ensure that no conflict of interest exist, by avoiding actions or engagements that are in conflict with their position, or might impair their ability to make objective and fair decisions when performing their obligations to the institution or its well-being.

Unless approved, after consultation, by the proper authority within the University, it is advisable that AU community members avoid potential conflict of interest and staff members are encouraged to bring to the attention of their direct supervisors or higher management inquiries related to possible conflict of interest for possible action. The following actions and conditions are specifically prohibited, but are not intended to enumerate all actions or situations, which might be avoided:

a. Situations where a financial or other consideration may compromise or appear to compromise their ability to carry out their responsibilities to the University.
b. Situation where community members place themselves in a position where they could use their professional influence to create benefits for their private interests or to give improper advantage to others.
c. Situation where a staff member has a significant interest in, or a consulting arrangement with, a private business.

d. Situation where a faculty member undertakes externally funded research activities not financially sponsored by Ajman University.
e. Situation where a faculty member undertakes consultancy work without prior approval from the University.
f. Situation where a faculty member accepts activities that compete, or have the potential to compete, with Ajman University in areas that are part of the faculty member's University Responsibilities.
g. Situation where a faculty member teaches for another educational.
h. Authorize the purchase of equipment, supplies or services from a source in which they or their family members have a substantial interest.
i. Borrows from, or lends money to, individuals representing organizations with which business dealings are conducted.
j. Accept advances or other personal payments or gifts or entertainment, from any company or firm or any person acting directly or indirectly for any company or firm which has transactions with AU.
k. Hire any member of their immediate family as an employee or consultant for any project supported by funds administered through the University.
l. Have a family member directly supervising another family member.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.1	24/10/2012	Minor change	Vice -President
V 2.0	11/12/2018	New policy	Human Resources Manager

Faculty Disciplinary Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	May. 2019
		Next Review Date	Jun. 2021

Ajman University expects all its faculty members to abide by the highest standards of professional ethics and academic honesty in all their activities conducted inside or outside the University campus. In the case of a serious violation of these standards or misconduct, a faculty member may face disciplinary charges and a disciplinary action can be taken against him under the specified procedure, as explained in this document.

Purpose

- To ensure that faculty and professional staff follow the highest standards of professional ethics and act as role models for students.
- To promote academic honesty.
- To elaborate acts of misconduct that may result in some disciplinary action.
- To describe the procedure for disciplinary action.

Statement

AU expects its faculty members to adhere to the generally accepted rules of honesty, good conduct, and fair practice. They are required to perform their duties to the best of their abilities, abide by all laws and regulations, and refrain from any activities that can harm the University's reputation.

In case of misconduct or serious violation of the University's rules and regulations, a faculty member or professional staff may face disciplinary charges.

The rules of this Policy shall apply to all violations, and whether occurred on campus or during all University-sponsored events or activities. This Policy shall also apply to any act that defames or dishonors the University even if committed off campus.

Academic Honesty

- Academic honesty is the pursuit of scholarly activity in an open, honest and responsible manner. Academic honesty is a basic guiding principle for all academic activities at the University, and all members of the University community are expected to act in accordance with this principle.
- Academic honesty includes a commitment not to engage in or tolerate acts of falsification, misrepresentation or deception. Such acts of dishonesty violate the fundamental ethical principles of the University community and compromise the worth of work completed by others.

Misconduct

The University expects its faculty members to abide by all rules and regulations and conduct in the best possible manner. The University shall take appropriate disciplinary action if a faculty member or professional staff is found to be involved in a case of misconduct such as, but not limited to the following:

a. Refusal to carry out the duties required by his/her position or refrain from abiding by the instructions under the employment contract, which are issued by the superior or the person in charge.
b. Unauthorized distribution of literature in the work area or posting on institution property.
c. Committing any act that might compromise an article of the contract or violate the regulations issued by the University from time to time regarding the safety and security of the computers and equipment inside the university.
d. Racial or sexual harassment or any other form of harassment to any student, employee or visitor to the University.
e. Absence without permission.
f. Committing any act that might infringe an article of the contract or violate the regulations and policies issued by the University from time to time regarding safety and security.
g. Refusal to accomplish tasks stipulated upon in the employment contract and/or the internal laws of the University.
h. Disturbing the safety equipment, or acting in a manner that threatens the rules of safety and public health in the workplace or hindering the employees from carrying out their duties properly.
i. Falsification of any reports, reports pertaining to absence from work, and communications or records including personnel and production records.
j. Threatening, intimidating, coercing or interfering with any person on AU premises at any time.
k. Gaining unauthorized access to institution records and files whether they are locked or otherwise.
l. Theft of any property on institution premises.
m. Submission of false certificates and documents.
n. Professional negligence, which causes material or moral damage to the University.
o. Intentional breaching of the internal published laws of the University.
p. Divulging a professional secret.
q. Any substance abuse
r. Violation of the moral ethics of the UAE society.

Procedure

- A faculty member shall appear before a committee to be formed as per a decision from the Chancellor or his authorized representative. The committee composed of three or more members, shall investigate the facts referred to it by the Chancellor or his authorized representative.
- The committee shall conduct investigation sessions at the invitation of the Chancellor. These investigation sessions shall only be considered valid when attended by all members of the investigation

committee. The recommendations of the Committee must have the concurrence of the majority. On equal terms, the Chancellor's recommendation shall be favored. However, a recommendation for contract termination shall only be issued with the agreement of all committee members.

- A penalty may only be imposed on the faculty member involved after a written investigation of not more than 30 working days – if possible – as per the University academic calendar. This investigation shall include his/her statements, and these shall be first investigated. A justification for the penalty recommendation must be furnished as well.
- The Committee shall request the presence of the faculty member for investigation, by sending him a summons at least 24 hours before the date of the enquiry session. The committee shall safeguard the confidentiality of the investigation and the dignity of the faculty member. The summoning shall be considered legal and acceptable if sent to the faculty member via the faculty provided email to the University, or via an SMS to the faculty mobile phone number registered in the University system.
- The committee shall hold investigation sessions in the presence of the faculty member under investigation and/or his/her representative. Should they both fail to appear without an acceptable excuse and despite the invitation, the committee shall decide on his/her case in absentia as if s/he is present. The investigation shall be conducted in a confidential way. The Committee shall have the right to hear the witnesses or anyone it deems fit as and when needed, in the absence of the faculty member involved and his authorized representative.
- The faculty member referred to investigation may submit any documents, statements, or defense he/she deems fit, in Arabic and / or any foreign language. A note on these shall be recorded in the minutes of investigation.
- The faculty member referred to investigation shall have the right to sight the complaint lodged against him. The Committee shall inform him/her, at least verbally, of the contents of the statements of all those heard (without being obliged to refer to their names). He/she shall be given sufficient time to prepare his/her defense.

Post-Investigation Procedures

- On completion of investigation, the Committee shall recommend any of the following:
  1. Archive the complaint for failure to prove the violation in question.
  2. Enforce one of the disciplinary penalties included in this policy, if the violation is verified.
- The Committee's recommendations must be sufficiently justified and reflect its full awareness and understanding of all the facts raised in the investigation. The Committee shall make the recommendations in a judicious way. All Committee members shall sign out the minutes of their meetings and recommendations.
- The Committee shall refer its recommendations and full minutes of investigation to the Chancellor or his authorized representative in maximum seven working days effective from the date of completing the investigation. He shall then take the decision he deems fit.
- The Office of the Vice Chancellor for Academic Affairs shall notify the faculty member referred to investigation of the decision taken with immediate effect. The faculty member involved is entitled to get a copy of the decision if s/he wishes.

Disciplinary Actions and Penalties

- The disciplinary measures and penalties taken or to be taken by the University shall remain separate from any criminal or civil proceedings involving the same offense filed or to be filed against him/her. The procedures and penalties shall apply even if the faculty member quits or has had his/her contract terminated for any reason whatsoever.
- The Committee shall have the right to seek help from all the University departments, units and sections in support to investigation. The Committee is also entitled to request reports from the same entities. It shall have the right to access all the documents helpful for investigation, yet without prejudice to the confidentiality of the University.
- The Committee may recommend a temporary suspension of the service of the faculty member if charged with a deliberate crime against life, property, honor, honesty or is involved in a strike.
    - The suspension period shall commence on the date of the notification of the incident to the competent authorities until the issuance of a decision thereby. The faculty member shall not be entitled to his wage during this suspension period. Should a decision be issued for the non-prosecution or the acquittal of the worker, the latter shall be reinstated and paid full wage against the suspension period.
- In all cases, the Committee may recommend a temporary suspension of the faculty member service if needed, even if the breach he is involved in is not an offense. However, the faculty member shall collect his full wage during the suspension period even if later convicted at the end of investigation.
- The disciplinary penalties that may be imposed on the faculty member have been stated in Article (102) of the labor law and their imposition is subject to the rules and procedures set out in the Labor Law. The disciplinary penalties are as follows:
    1. Warning.
    2. Fine.
    3. Suspension with reduced pay for a period not exceeding ten days.
    4. Deprivation from or deferment of periodic bonus if the University contains a system for such bonuses.
    5. Deprivation from administrative promotion unrelated to academic position.
    6. Dismissal from work without prejudice to the end of service gratuity
    7. Dismissal from work and deprivation from the total end of service gratuity or a part thereof. Such penalty shall not be inflicted for reasons other than the ones mentioned exclusively in Article 120 of the Labor Law.

Appealing Against Decision

- The faculty member may challenge the decision issued against him/her in a letter addressed to the University Chancellor or his authorized representative within maximum of seven working days, as per

the University academic calendar, effective from the date of being notified orally or in writing. Otherwise, the decision shall be final and irreversible.

- The appeal shall not be accepted in form unless it is filed within the legal period and meets one or more of the following conditions:
  a. Failure to observe the investigation procedures provided for in the University Compliance Policy.
  b. Emergence of previously unknown evidence that may have an impact on the content of the decision.
  c. The disproportion between the violation and disciplinary penalty.
- If the appeal form is accepted, the Chancellor or his authorized representative shall form another committee to consider it, if necessary. The Committee shall then submit its recommendation to the Chancellor or his authorized representative to take the appropriate decision, and that shall be final.
- The notification shall be considered legal and acceptable if sent to the faculty member via the email provided to him/her by the University, or via an SMS to his/her mobile phone number registered in the University system.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.2	18/05/2019	Revised procedures and actions that can be taken against Faculty for misconduct	Vice Chancellor for Academic Affairs

AU Ethics Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of GSR
Approved By	Research Ethics Committee	Effective Date	Dec. 2017
		Next Review Date	Jul. 2020

Purpose

This ethics policy states AU standards of conduct so that members of AU community understand the ethical issues related to their actions and behavior. AU ethics policy affirms its commitment to obey the law of the country, and to perform all activities with integrity and without deception. In addition, it affirms its commitment to preserving the cultural and traditional values of UAE society.

Statement

AU expects all faculty and staff to adhere to the following ethical standards:

- Conduct themselves with integrity by being fair, honest and treat University community members with dignity and respect;
- Avoid any interest or activity that is in conflict with the performance of their duties and report conflicts of interest which are unavoidable;
- Maintain confidentiality of information and avoid the use of the University information for personal benefit;
- Perform their duties with utmost honesty to serve the University and students;
- Preserve, protect and ensure the proper use of University assets and belongings;
- Strive for professional development and help other to develop as well;
- Respect the cultural values and heritage of the UAE society;
- Comply with all the laws, rules and regulations in UAE as well as the policies and regulations of the University;
- Uphold the highest ethical norms in conducting scientific research by preserving the environment and heritage of the UAE society.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	26/03/2013	Initial policy	University President
V 1.2	25/12/2017	Revised guidelines for research ethics	Dean of GSR

Faculty Grievance and Appeal Policy

Policy Owner(s)	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	May. 2019
		Next Review Date	Jun. 2021

Ajman University is committed to providing a workplace with an ambience of mutual respect so that faculty members, administrative staff and students can all work amicably and discharge their duties effectively without any harassment or problems. However, as is natural, disputes may arise from time to time between a faculty member and an administrator or other individual.

In such a case, if the dispute is not resolved informally between the concerned parties, the faculty member may report it to the Dean for his/her intervention. If the Dean's intervention also fails to resolve the dispute to the satisfaction of the concerned faculty member, he/she may proceed to file a formal complaint to the Chairperson of the Faculty Grievance Committee (FGC) at the university level. In this case, the complaint shall be referred to as "grievance" and the concerned faculty member filing the complaint shall be referred to as "grievant". It is important to note that a grievance may also be filed if a non-action by an administrator has adversely affected the faculty member's terms of contract, academic freedom, or other provisions as stated in the Contract, Faculty Handbook or other published documents of the University.

Purpose

- To make faculty members aware of their right to formally submit a grievance against an administrator or another individual or party concerning any dispute that could not be resolved amicably.
- To explain the procedure for filing the grievance and how it will be processed by the Faculty Grievance Committee (FGC) of AU.

Statement

A faculty member is entitled to formally submit a grievance to the Faculty Grievance Committee (FGC) of AU if a dispute between the faculty member and an administrator or other individual(s) at the University could not be solved amicably between the two parties. A grievance may also be filed if a non-action by an administrator has adversely affected the faculty member's terms of contract, academic freedom, or some other provisions. The Faculty Grievance Committee (FGC) shall determine, if the grievant has been substantially harmed as a result of the filed grievance, and if so, what relief should be given to the grievant.

The University Chancellor appoints members of the FGC and its Chairperson. The findings and recommendations of the FGC will be forwarded to the University Chancellor for necessary action, if any. In making its recommendations, the FGC shall make a determination of whether a violation of regulation, policy, or procedure has occurred. If it is determined that there was a violation, the FGC shall consider factors such as whether the violation was intentional or unintentional and if it was due to some negligence or misunderstanding of rules and regulations.

The duties of the Chairperson of FGC shall include the following:

- Provide relevant information to the grievant for filing a grievance.
- Receive the written grievance.
- Arrange for FGC meetings and schedule the hearings.
- Preside over the meetings and ensure the hearings are conducted in accordance with the specified procedure.
- Ensure that all records are maintained.
- Submit the findings of FGC and its recommendations to the University Chancellor.
- Inform the concerned parties about the final decision taken by the University Chancellor.

The members of the FGC are responsible for:

- Reviewing the grievance and ensuring that it is complete with all required information and documents.
- Deciding if the grievance does in fact need processing by the FGC.
- Hearing the evidence presented by the grievant as well as arguments presented by the defendant(s) and questioning both sides with the aim of finding exactly what happened. This shall also cover the witnesses from both sides and their cross-examination.
- Reaching a decision based on presented evidence, discussions, and cross-examinations and making appropriate recommendations.
- Making sure that confidentiality is strictly maintained.

In case the Chairperson or any other member of the FGC is him/herself the grievant or defendant, he/she must quit the Committee. The University Chancellor will appoint a replacement for that member. The same will apply to a member who is on leave or absent during the hearing process.

Procedure

- The grievance must be filed within one month after the grievant becomes aware of a substantial violation of his/her rights as stipulated in published documents, including the Faculty Handbook. The Grievance Form is provided in the Faculty Handbook. In filing the grievance, the grievant must provide the following information:
  - A detailed account of the incident, situation or circumstances that caused the grievance. The grievant must specify the party against whom the grievance is filed, and specifically explain how that party has violated his/her rights or affected his/her ability to work in a professional or academic capacity, and accordingly what harm or damage occurred.
  - Explain what informal actions were taken to resolve the dispute. It is required that the grievant mentions the date when he/she informed the Dean about it, and why he/she is not satisfied with the solution, if any, achieved by the Dean. If the Dean was not involved before filing the grievance, the grievant must provide reasons for not doing so.
  - Specify what relief is being sought through the grievance procedure.
  - Provide the name, phone number and e-mail address of each person that he/she would like to call as a witness during the hearing process.

- Upon receipt of the grievance, the Chairperson of the FGC will conduct an informal inquiry and meet with the grievant to resolve the matter. If the grievance cannot be resolved within two weeks of its receipt, the Chairperson will forward it to the committee members for review, and they will decide if the grievance requires a formal hearing. If it does, the process for a formal hearing shall be initiated; otherwise, the University Chancellor and the concerned parties shall be informed in writing that the grievance does not deserve a hearing by the FGC as it does not fall within its jurisdiction.
- As a first step in the hearing process, the FGC shall notify the University Chancellor about initiation of the process. It will also inform the concerned parties and provide them with relevant information and documents in order to prepare for the hearing. In this regard, the Chairperson of the FGC shall be responsible for all communication. The concerned parties shall be given reasonable time for preparation and allowed to present their views personally, provide evidence, call witnesses and cross-examine the witnesses of the other party. Each party shall be informed about the identity of the witnesses at least three working days prior to the date of the hearing. It must, however, be noted that the witnesses will only come to the hearing on a voluntary basis and cannot be forced by either party to attend the hearing. A record of the hearing shall be prepared.
- The FGC will try its best to obtain reliable and sufficient information to reach a decision. At the completion of the hearing, the FGC members will deliberate and reach a decision by majority vote. Within one week of the decision made by the FGC, the Chairperson shall present a report to the University Chancellor describing its findings and giving its recommendations. The report shall also include the account of the evidence presented by all parties. It must be noted that the recommendations of the FGC are of an advisory nature only and the University Chancellor makes the final decision. In addition, the report of the FGC may not be used as evidence by either party in a related legal action. After the University Chancellor has made a decision, the Chairperson of FGC shall inform the concerned parties about the final decision.

Appeals

A faculty member can file a written appeal to the Vice Chancellor for Academic Affairs requesting a review of a decision made by an official of the University. The decision must have directly affected the academic or professional activities of the appellant as an individual. The purpose of the appeal process is to determine whether appropriate procedures were followed in making certain kinds of academic or administrative decisions, rather than to re-evaluate the merits of the decisions themselves. The appellant should file his or her appeal within 30 days of being notified of the decision. In addition, the concerned faculty member or professional staff is encouraged to resolve the dispute informally before beginning the appeal process.

After making a preliminary review of the matter, which may include consultations with whomever the Vice Chancellor for Academic Affairs deems appropriate, the Vice Chancellor for Academic Affairs may undertake one of the following decisions:

- Grant the appeal;
- Remand the matter to a lower administrative level,

- Refer the matter directly to the concerned Faculty,
- Reject the appeal if it is found to be without merit.

The Vice Chancellor for Academic Affairs may also appoint a committee to investigate the matter and report the findings back to him. In such a case, the committee will thoroughly investigate the matter and hold such consultations, as it deems necessary to arrive at responsible recommendations consistent with the policies of the University. At the completion of the investigation, the committee will prepare a detailed report and submit it to the Vice Chancellor for Academic Affairs. After receiving this report, the Vice Chancellor for Academic Affairs will make the final decision on the appeal that he deems appropriate. The appellant will be informed about the final decision made by the Vice Chancellor for Academic Affairs.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Central Committee
V 1.2	20/09/2012	Minor change	Human Resources Director
V 1.3	18/05/2019	Responsibility and role of the FCG and clear appeal procedure and decisions	Vice Chancellor for Academic Affairs

Graduate Assistants (GA) Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of GSR
Approved By	Council for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Aug. 2020

1. A Graduate Assistant (GA) is an individual who serves in a support role while completing his/her graduate studies at AU.
2. For each graduate program offered by AU, the University provides financial support to GA's in terms of partial or full tuition fee waiver and a monthly stipend in some cases. A GA must be enrolled as a full-time student at the University for the duration of their assignments in a graduate program.
3. The GA shall work in the University as a full-time graduate student without any other part-time or full-time job, within or outside University.
4. It is a responsibility of the Head of Department and/or supervisor to make sure that the GA's are fully aware of all related policies and procedures and abide them.
5. The AU may offer graduate students the following two types of assistantships:
    a. Sponsored Graduate Research Assistant (SGRA)
    b. Sponsored Graduate Teaching Assistant (SGTA)

Sponsored Graduate Research Assistant (SGRA)

1. The sponsored graduate research assistantship is awarded on a competitive basis.
2. The maximum duration of sponsored graduate research assistanceship is 2 years.
3. The research graduate assistantship will be provided during Fall and Spring semester only. A prior permission is required from the Dean of Graduate Studies and Research, if the SG-RA work as part time RA during the summer semester.
4. The following table summarizes the SGRA's categories and related requirements:

Thesis is Required as part of Degree Completion Requirement	SG-RA Category	Credit Hours Supported by AU	SG-RA Working Hours / week as a part-time RA	Monthly Stipend (AED)	Minimum CGPA Requirements	Registered Credit Hours
Yes	Full SGRA	9	20	4,000	3.5	9
Yes	2/3 SGRA	6	15	3,000	3.0	9
Yes	1/2 SGRA	4.5	10	2,000	3.0	9
No	1/3 SGRA	3	5	0	3.0	12

5. For full SGRA, the research supervisor must certify the performance of SGRA as a part time research assistant as Good or higher. For other categories of SGRA, the research supervisor must certify the performance of SGRA as part time research assistant at least satisfactory.

6. Financial support for their research projects (GSG), as recommended by the College Research Committees, and approved by DGSR can also be provided.

Sponsored Graduate Teaching Assistant (SGTA)

1. The sponsored graduate teaching assistantship may be awarded on a competitive semester-by-semester basis, as per teaching requirement of the college. The SGTA budget shall be supported by the college teaching budget.
2. The following table summarizes the categories of SGTA's and related requirements:

SG-TA Category	Credit Hours Supported by AU	SG-TA Working Hours / week as a Teaching Assistant	Monthly Stipend (AED)	Minimum CGPA Requirements	Registered Credit Hours
Full SGTA	9	20	4,000	3.5	9
2/3 SGTA	6	15	3,000	3.0	9
1/2 SGTA	4.5	10	2,000	3.0	9
1/3 SGTA	3	5	0	3.0	12

Procedure for the selection of GA

The recommended procedure for the selection of Graduate Assistants is as follows:

1. The University shall advertise on its website, English and Arabic newspapers, and other publications, provision of financial support for talented graduate students in its graduate programs. The financial support shall cover their partial or full tuition fees and they may also get a monthly stipend for working as part-time Research or Teaching Assistants in their colleges. The College Deans or HODs can also contact their outstanding graduates with strong potential for graduate studies and research to apply for these positions. Similarly they can use their networking to invite outstanding graduates from UAE or abroad.
2. The College Dean shall form a Selection Committee to review the applications, interview the short-listed candidates and recommend candidates to the Dean.
3. The College Dean shall inform the selected candidates to formally apply for admission. The College Dean shall also inform the Office of Admissions and Registration about their selection as SGRA or SGTA.
4. The College Council shall discuss and decide the Supervisor(s) for each selected GA. The supervisor(s) will be informed about expected outcomes and they shall be responsible to ensure that the research task is well-defined and properly supervised to achieve these outcomes.

Progress Monitoring of SGRA

The monitoring process for SGRA is as follows:

1. SGRA should have a meeting with the appointed supervisor on a regular basis and keep a record of such meetings.

2. The SGRA, should submit a detailed progress report to the college member of Council of Graduate Studies, with evaluation from the supervisor, at the end of Fall and Spring semesters.
3. The college member of Council of Graduate Studies shall forward this report to the DGSR with his/her comments and endorsement from the College Dean.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	Initial policy	Dean of Graduate Studies and Research

E. Students

جامعة عجمان
AJMAN UNIVERSITY

Student Disciplinary Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Nov. 2017
		Next Review Date	Jul. 2020

Statement

This policy is made in recognition of the principle that the basis for dealing among members of the University should be one of mutual respect and is part of the process by which the University encourages adherence to such principles in the context of student behavior.

All members of AU, including students, are expected to conduct themselves in accordance with the regulations of the University, and the laws of the UAE. In particular, AU students are requested to play an exemplary and positive role in enhancing the reputation of the University by:

- demonstrating a clear commitment to their own learning
- conforming themselves to all specified time requirements for registration, class schedules, examinations and completion of assignments;
- ensuring that work presented is their own personal work;
- ensuring that all information presented to faculty members and administrative staff is accurate and true;
- conducting themselves in a courteous and proper manner in their dealings with faculty members, employees or other students;
- meeting their academic advisors regularly;
- respecting the property of others and of the University;
- reporting grievances to their academic advisor or the Dean of the College;
- not engaging in cheating, plagiarism, disruptive behavior or improper conduct which could damage the reputation of the University;
- not using AU's facilities for other than learning purposes without prior authorization;
- not falsifying documents or using falsified documents for any purpose related to the University;
- not distributing leaflets or collecting signatures on University premises or hostels without prior authorization;
- abiding by AU rules and regulations, and the directives of the academic and administrative staff; and acting in a way that will not cause offence to the culture of the UAE .

Content and Guidelines

- Any violation of University regulations or directives, or improper behavior, is considered as misconduct and will render the student liable to disciplinary action which may range from a verbal warning to dismissal from the University.
- In addition, if a student violates any rule or instruction during an examination, or is caught cheating, he/she will be asked to leave the examination room. In this event, the campus examination committee will interview the student on the day following that in which the incident occurred and will as a result submit a detailed report to the Chancellor of the University, in which the level of punishment is recommended. The level of punishment may range from the giving of an "X" mark for the course concerned, or failure in all courses for which the student is registered that semester.
- A copy of the decision of the Chancellor will be kept in the student's file, and the Office of Admissions and Registration will also inform the guardian as appropriate.

Proceeding

- Any member of the University community may bring a complaint against a student. A complaint must be filed to the Head of the SDC within two weeks of the incident or the discovery of the alleged infraction(s). The complaint should be concise and complete statement of allegations.
- The Head of the SDC shall set a time and place for the hearing within one week of the time the complaint is filed.
- The Head of the SDC will notify the respondent in writing of the complaint and the specific allegation filed. The respondent shall receive a written copy of the allegedly violated regulation and the time and place of the hearing through the student affairs.

Student Disciplinary Committee Rules

- The SDC shall meet regularly at scheduled times as required by the caseload.
- All committee hearing will be closed to public.
- Any member of the SDC having a particular conflict of interest in a case must abstain from participation in the hearing.
- Burden of proof ("clear and convincing evidence") rests on the complaint.
- Witnesses may be called by the parties and/or by the SDC. Witnesses may be either witnesses to the actual event or character witnesses. Character witnesses may be called, if appropriate, during the sanction phase of the hearing. The SDC may, by majority vote, reasonably limit the number of witnesses for such reasons as redundancy or irrelevancy. Witnesses may be excluded from the hearing until testimony is to be presented.
- The complaint, the respondent and the members of the SDC shall all have the right to examine and cross-examine witnesses.
- All evidence offered must be relevant, not privileged and legally acquired.

- The SDC will determine the acceptability of evidence by majority vote.
- The respondent has a right to remain silent to avoid self-incrimination.
- Should the respondent be unable to attend a scheduled hearing, the time and place of which will have been made known in advance to the SDC and in writing, he/she must notify the Head of the SDC at least two working days in advance of the scheduled hearing, except in extreme emergencies, and for good cause, so that the hearing may be rescheduled by Head of the SDC. If the respondent fails to notify the Head of the SDC of his/her inability to attend the scheduled hearing as described above, the SDC will hear the case in the respondent's absence. The complainant should also attend any scheduled hearing, except in extreme emergencies in which case he/she must immediately notify the Head of the SDC and justify his/her absence. If the complaint fails to attend a scheduled hearing without the above-mentioned notification and justification, the SDC may dismiss the case.
- In closed session, the SDC, after due deliberation will decide whether, by clear and convincing evidence, the respondent is or not in violation of the code as charged.
- After deliberating, the SDC will determine the appropriate sanction.

Sanctions

- The SDC will recommend sanctions consistent with the severity of the offense. Standard sanctions such as warning, fines or assessments for damages to the University property may be appropriate for lesser offense. The SDC may recommend sanctions reflecting the nature of particular offense. Repeat offenders may receive harsher sanctions. For more serious matter such as behavior that disrupt or delay operation or compromises the safe environment or integrity of residential halls or University, suspension or dismissal from the residential hall or the University may be recommended.
- One or more of the following sanctions may be imposed upon a student for violation of disciplinary regulations. The SDC is not limited to the list of sanctions provided below and may recommend new sanctions. However, all sanctions, when appropriate, may be modified, deferred or suspended by the University Chancellor. The sanctions that may be imposed are as follows:
    - Verbal warning.
    - Written warning.
    - Depriving the student of all or some of the privileges, services or extracurricular activities provided by the University for a period not exceeding two semesters and without refund of fees.
    - Depriving the student of completing the course in which the violation is committed; Awarding a failing grade on the course and obligating the student to pay the course fees.
    - Depriving the student of completing the whole semester in which the violation is committed; awarding a failing grade on all of the semester courses he is enrolled on and obligating him to pay the fees.
    - Suspension from study for one or more upcoming semester.

- Expulsion of the student from University and awarding him a failing grade on all of the courses of the semester in which the violation is committed; obligating him to pay the fees. The student shall not benefit from his academic record.
- Expulsion of the student from University; awarding him a failing grade on all of the courses of the semester in which the violation is committed; student shall not benefit from his academic record neither shall his fees be refunded.

Implementation

- The Head of the SDC should forward the case record to the University Chancellor within two working days after the hearing.
- The Chancellor may approve or disapprove the sanction. In case of disapproval it will be referred back to the SDC through the University legal advisor. In this case the SDC will review the sanction and resubmit it back to the Chancellor.

Emergency

- In the instance of severely and willfully disruptive behavior, or when the ordinary rights of any member of the University community are threatened by the continuing presence or activity of student or students in the residential hall or elsewhere on the campus, the Chancellor may suspend such student(s) from participating in residential life or other campus activities, pending the outcome of the hearing.

Informing the student

- The students will be informed of sanction in writing through student affairs. Copies of the sanction will be kept at the University archive and another copy will be kept in the student file at the registration. The office of student affairs will inform parents or guardians of students misconduct when:
  - The sanctions involve fines.
  - The sanction involve failing in one or more courses.
  - The sanctions involve suspension from the University.
  - The sanctions involve dismissal from the University.
  - A student is found responsible for a second violation of the code of conduct.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	22/11/2017	Revision and application of new sanction terms.	Dean of Student Services

Student Academic Integrity Policy

Policy Owner	Vice Chancellor for Academic Affairs	Responsible Office	Office of VCAA
Approved By	Council for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	July. 2021

This document sets out the University's policy, which regulates the sanctions taken against students for academic dishonesty. The disciplinary committee is the authorized body to recommend actions against offenders of the Academic Integrity.

Plagiarism

Definition of Plagiarism

The act of plagiarism is committed when one uses the ideas or work of other people and the representation as one's own original work. Ajman University deploys a powerful plagiarism detection software as well as other verification tools to detect any act of plagiarism. Plagiarism encompasses a wide range of forms, such as:

- Written research, books, articles, and theses.
- Graphic illustrations, images, and motion pictures.
- Graphs, maps and models
- Audiovisual material

a. Students are required to submit their own work for fair evaluation of the level of achievement of a specific learning outcome.
b. Each faculty should explain to their students that plagiarism is not at all acceptable and there are strict penalties for any act of plagiarism.
c. It is not forbidden to reproduce an idea or sentences from a book or an article as long as the student uses quotation marks and gives its source.
d. Every submitted project is expected to contain a reference section in which the student lists all the materials that he/she consulted or used in the project.

Examples of Academic Integrity Violations

The following list includes, but is not limited to, examples of violations under the Academic Integrity policy.

Plagiarism	Test and Exam Rules	Other violations
Failing to acknowledge sources through the use of proper citations when using another's works and/or failing to use quotation marks.	Attempting to read other students' exam papers.	Co-operation or collaboration on an academic assignment, in whole or in part, when the instructor has indicated that the assignment is to be completed on an individual basis.

Submitting any work written, in whole or in part, by someone else.	Speaking to another student (even if the subject matter is irrelevant to the test).	Disruption of classroom activities or periods of instruction.
Submitting a project by a third party, developed without major modifications as ones own.	Leaving answer papers exposed to view.	Improper access to confidential information such as exams or test questions.
Using ideas or material without appropriate acknowledgment in any academic assignment.	Writing an examination or part of it, or consulting any person or materials outside the confines of the examination room without permission to do so.	Misrepresentation of facts for any academic purpose.
Using another's data or research findings.	Using material not authorized by the examiner.	

Student Awareness or Author Responsibility

Students in the University shall be made aware of the consequences that could lead to the allegation for suspected plagiarism. Students are require to:

- Acquire necessary academic writing skills.
- Know what are the possible violations that can result into plagiarism.
- Know the accepted citation style.

The University acknowledges the need to create appropriate student awareness regarding the subject and provide necessary support to deal with the situations that can result into student being alleged. The university hails to:

- Educate the student community on the possible penalties involved in plagiarizing.
- Educate students on using Turnitin or other available (free) resources to check their work, like, PapersOwl, Grammarly, Quetext etc.
- Supporting faculties, colleges and departments to enlighten their students on the issue of plagiarism.
- The coursework or assignment sheet should contain the University's stance on detected plagiarism and the related penalties.
- Senior Librarian to provide guidance on citations and how can this lead to Plagiarism.

Disciplinary Penalties for Plagiarism

Faculty members are responsible for checking acts of plagiarism in their courses. If a faculty determines that an act of plagiarism has been committed, a report of the incident with supporting evidence shall be submitted to the Head of Department who in turn will forward the report to the College Dean for

further action. The Dean after confirming the act of plagiarism, shall refer the report to the Registrar where a copy of the report will be kept in the student file.

The following actions shall be taken against the student proven to have committed an act of plagiarism:

1. If the student has no previous record of plagiarism in any course, a zero grade is given to the submitted work.
2. A student committing a second plagiarism offense in any course will be awarded a failing grade on that course and shall pay the full course fees. The plagiarism offence shall be noted in the student's record of grades and marked with "XF".
3. A student committing a third plagiarism offense in any course will be awarded a failing grade on all courses of the semester in which the student commits the violation and shall pay the fees for all courses. The plagiarism offence shall be noted in the student's grades record and be marked with the "XF" for all the courses taken in that semester.
4. A student committing a fourth plagiarism offense in any course will be expelled from the University and shall be awarded a failing grade on all courses of the semester which will be marked with a grade of "XF". The student will have to pay the fees for all courses. However he can benefit from his/her academic record.
5. Upon a written request submitted by the student to the Office of Admissions and Registration, the XF mark may be removed if the student maintains his/her record clean up until his/her graduation.

The University may supplement its penalty with a decision to fully or partially ban the student from the privileges provided by the University for a maximum period of two semesters.

Procedure for Dealing with Plagiarism Cases

Plagiarism Detecting Software

Although the primary source of plagiarism detection is the course instructor's review of the student's work submitted for a particular assessment instrument, Turnitin software is available at AU Moodle for assistance in detecting any plagiarized work.

The Turnitin report, identifying uncited or unacknowledged copied material, will be submitted by the faculty under the formal plagiarism procedure. It should be noted that just having a matching score on Turnitin doesn't imply plagiarism; this will go through a rigorous analysis by the faculty before being finally reported.

A word of caution to be informed to all students on usage of any online tools for referencing, there are ample of sites (paid or free) for generating references, citations and bibliographies. However, most or almost of them doesn't fully abide by the international referencing conventions followed by the University. In case of usage, the student shall be fully liable for the consequences and to ensure that the referencing is in accordance with the University guidelines.

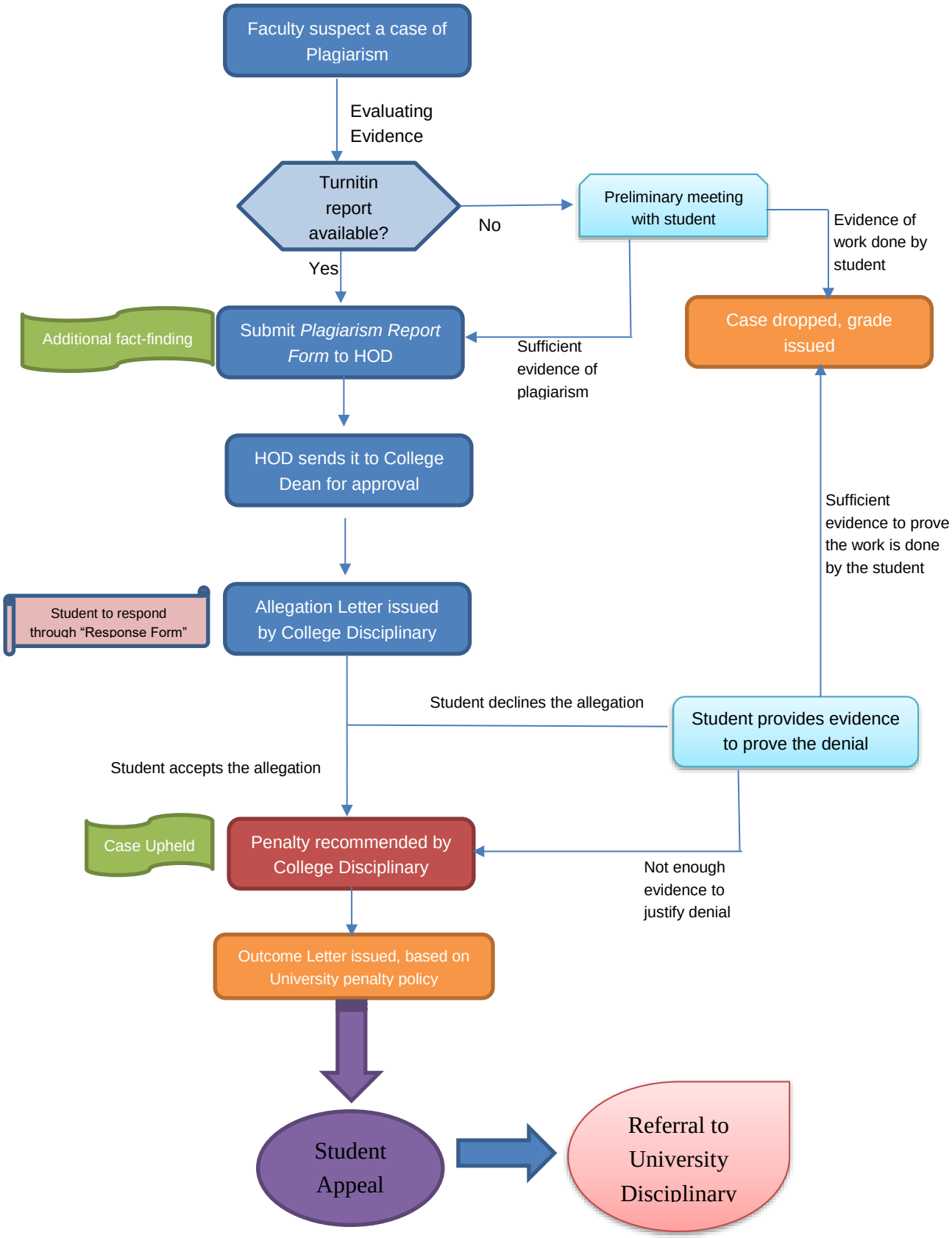
Who to contact for advice

In case student want to seek advice in understanding the process and how to deal with the situation that resulted into him/her being plagiarized, they shall contact the program team or course tutor, per se, for any initial advice.

Procedure

The following flow chart depicts the procedure to be followed in case of suspected case of plagiarism. The steps are explained and summarized in the details given below:

Flow Chart Depicting the Plagiarism Process at Ajman University



a. Suspected case of plagiarism

This is the first stage of assessing the student's submission when the faculty suspects that the work submitted by student is contradicting the referencing norms and falls under unauthorized or uncited work.

In case of non-availability of Turnitin reports, the faculty will schedule an informal or preliminary meeting with the student to brief him/her on the suspected allegation. At this stage, student should be given a chance to respond regarding any details that have been missed or should be reported to assessor in regards to the submitted work. If the student is unable to deny the alleged case or to provide evidence that the submitted work was his/her own, the faculty will proceed with the formal procedure of submitting the "Plagiarism Report Form" to the HOD. However, if the student could provide enough evidence that could support the authenticity of his/her work, the faculty will dismiss the case and will mark the work as it stands.

b. Initial investigation of student's submitted work

Once the faculty suspects that the work submitted is plagiarized, he or she will report the case for formal investigation by filling and submitting the "Plagiarism Report Form". At this stage, the faculty will submit:

- Plagiarism Report Form
- Copy of Turnitin report with details of all sources (if available);
- Copy of source material, if any;
- Summary of preliminary meeting scheduled with the student in case of no Turnitin report
- Any other document that can support the alleged plagiarism

c. Procedure for Investigation for Penalty Decisions

Once the HOD reviews the plagiarism allegation, he/she shall communicate this to the respective Dean. The Dean, after reviewing the case, shall provide it to the College Disciplinary Committee (CDC) for further action. The CDC shall than communicate to the concerned student by providing the following:

- Letter to the Student on alleged plagiarism case;
- Copies of Turnitin report and/or other related evidences;
- Student Response Form;
- Informing student on submission of "Response form" within seven working days, and informing of the consequences in case of non-compliance to the specified timeline
- Reference to the Plagiarism Policy as published on Ajman University web portal or Student Handbook

d. Student Response on the Plagiarism Allegation

- The student will have the chance to submit his or her response along with any evidence to prove against the alleged plagiarism case. At this stage, the student can seek guidance from their faculty/advisor over the circumstances that lead to the work being unauthorized.
- The student will have two options to submit his or her response as – Accept or Decline. On denying the allegation, student is required to submit enough evidences to prove his or her claim.

- In case of no response within the specified timeline, as mentioned in the communication made to student initially by the CDC, the Committee shall consider the allegation as accepted and the consequences or penalties shall thus become abiding on the student.

e. Decision on Final Penalty

Final decision on penalty will be based on the University Policy section "2.1.3 Disciplinary Penalties for Plagiarism", under the section "Student Academic Integrity".

However in case where an allegation of plagiarism is not sustained following the investigation stages, the work of student will be marked as it stands and grades will be released based on the University policy.

The final decision will be issued by the CDC and copies of this decision will be sent to the Dean, Registrar, and the concerned student.

f. Appeal against the Decision of Program team

A student may appeal against the decision of CDC in applying the penalty. Such an appeal will be forwarded to the "Student Disciplinary Committee" (SDC) within seven days from informing on final penalty for the proven case of plagiarism.

The appeal process seeks to ensure that students' concerns against the University decisions are treated seriously and in case(s) found to be valid, these are acted upon to ensure that the students' interests are protected.

Please refer to the policy of "Student Disciplinary Committee (SDC)": Article 30 Appealing Against Disciplinary Decision, under Policy and Procedure Manual for details on process and grounds of appeal.

Exams Guidelines

Rule 1: Only students who fulfill the following conditions will be allowed to sit for the university examinations:

- Students who arrive at the examination room in good time. If they are more than 30 minutes late they will not be admitted. Going out the examination room shall be allowed only 60 minutes after the timed start.
- If students are not suspended from classes.
- Students should introduce the University Card and the No Liabilities Certificate.

Rule 2: The examination regulations and procedures shall apply to the student during the period of exams, in examination rooms. The possession of mobile phones or other electronic means of communication is strictly prohibited and will be confiscated by invigilators, if any.

Rule 3:

- In case the student is absent from an examination with a valid excuse, they will be allowed to have the complete exam within no more than two weeks from the start of the following semester. The student is deemed informed of the date of the complete exam.

- Any excuse shall be introduced in no more than one week from the exam provided that this excuse is ratified by the authorized parties in the university.
- The acceptable excuse shall be one of the following:
- A medical report that is approved by the University campus Doctor.
- Death certificate of one of the first and second degree relatives.
- Suspension or appearance before the court.
- A perfectly valid excuse.
- The student shall pay the fees of the incomplete.

Rule 4: The student who is absent from an examination without a valid excuse shall be deemed to have failed the examination.

Rule 5:

- An excuse shall be deemed valid if the examination timetable allows the student to take more than two exams at the same day.
- The student shall be given an additional time if he/she has to take more than one exam at the same time.

Rule 6:

Cheating: Any student who is caught in possession of written information relevant to the course, messages by mobile phone, or transmitting written or verbal information to his/her classmates shall be considered a cheater. This includes also the following:

- Using a book, magazine, research, computer or internet file.
- Using scraps, slips or copies.
- Using signs to convey information.
- Sending or receiving information through mobile phone.
- Writing on wall, ground, chair, clothes or body.
- Using every other means of information not allowed by the university regulations.

Trying to cheat: Any student who is caught in possession of written information, messages sent by mobile phones, or transmitting written or verbal information to his/her classmates shall be considered trying to cheat. This also includes what follows:

- Looking at the answer sheet of another student.
- Talking with classmates in the examination room.
- Possessing a mobile phone.
- Possessing papers or any other means that comprises information relevant to the subject of exam, but not shown up.

Procedures Regulating Irregular Behaviors during Sit-in Exams

All cases of cheating or trying to cheat, disturbing the peace and calm of the examination room, disrespecting one of the invigilators, impersonating an examinee or engaging someone else to take the exam by-proxy shall be reported to the College Examination Committee by all the invigilators.

- The invigilator shall notify the student who is caught cheating or trying to cheat to see the chair of the College Examination Committee by means of a form designed by the Central Examination Committee and by which he/she will be informed of the place and time of his/her appearance before the Central Examination Committee.
- The College Examination Committee shall refer the report to the Central Examination Committee in turn submits it to the University Disciplinary Committee
- The University Disciplinary Committee shall conduct the investigation with the cheater (or trying to cheat) and report all available witnesses within no more than 48 hours, then a report shall be submitted. In case the student does not attend in the assigned time, he/she will be subject to an investigation that will be conducted in absentia.
- The University Disciplinary Committee shall be entitled to take the decision to keep the report in case the infraction is not supported by any evidence; the decision is deemed definite and the student may be allowed to re-sit the examinations.
- The Chair of the Central Examination Committee shall refer the report to the University Disciplinary Committee to take the appropriate decision with regard to the infraction the examinee is accused of.
- Once asked by the invigilator, the examinee who is caught cheating or trying to cheat shall quit the examination room.

Disciplinary Penalties for Cheating

1. Awarding a failing grade on the course in which the student commits the violation; student shall pay the full course fees. Such penalty shall apply when a student is caught cheating or attempting to cheat in exams, or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched off. This penalty shall apply if the breach is the first to be committed by the student. The cheating case shall be noted in the student's record of grades and marked with "XF" for that course.
2. Awarding a failing grade on all courses of the semester in which the student commits the violation and obligating him to pay the full course fees. Such penalty shall apply when a student is caught cheating or attempting to cheat in exams; or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched off. This penalty shall apply if the violation is the second to be committed by the student. The cheating case shall be noted in the student's grades record and be marked with the character "XF" for all courses in the semester.
3. Expulsion of the student from University and awarding him a failing grade on all courses of the semester in which the violation is committed. The student can benefit from his academic record but will have to pay the fees. Such penalty shall apply when a student is caught repeating for a

third time an act of cheating or an attempt to cheat in exams; or caught in possession of notes relating to the exam subject matter, or in possession of a mobile phone or any other electronic device even if it is switched off.

4. Expulsion of the student from University and awarding him a failing grade on all courses of the semester in which the violation is committed. The student cannot benefit from his academic record and his fees will not be refunded.
5. Upon a written request submitted by the student to the Office of Admissions and Registration, the XF mark may be removed if the student maintains his record clean up until his graduation.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	20/09/2012	Minor change with inclusion of examples of plagiarism	General Director of Student Affair Department
V 2.0	16/10/2018	New policy – stronger process, appeal procedure/ inclusion of XF grade, turnitin tool	Vice Chancellor for Academic Affairs

Student Grievance and Appeal Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	July. 2021

Purpose

The purpose of this policy is to establish clear procedures for student grievances and appeal to ensure a fair and impartial handling of the grievances. This policy applies to students members enrolled at Ajman University.

Statement

The student appeal policy guides the student through steps of filing an appeal for reconsidering or changing an academic grade or decision. On occasions, a student may disagree with the academic decision of a faculty member. The University provides an appeal process for the student to request reconsideration of an academic decision. Academic Appeal is petition to change a decision basis for a student appeal matter. The decision may be either that the academic judgment was unfair in the view of the student or that the Department academic decision is applied incorrectly in the view of the student.

The Dean of Student Services forwards the student grievance to the Chairman of the Student Grievance Committee who will arrange a meeting to hear both parties and witnesses, as appropriate. The committee will then deliberate upon its findings and make a recommendation to the University Chancellor who will take the final decision, to be communicated to both parties.

Preliminary Steps

To initiate or pursue a grievance, the following steps must be observed no later than three weeks following the occurrence of the faculty member decision.

Step 1. The student should first discuss the matter with the person or persons directly involved, in an attempt to resolve the issue through informal discussion.

Step 2. If there is no resolution in step 1, the student should discuss the matter with the head of Department to whom those directly involved report (or if the head of department is directly involved, with the College Dean. If the College Dean is directly involved, with a senior management staff who shall attempt to mediate an informal resolution).

Step 3. If reconciliation has still not been achieved, the student shall submit a written statement of his grievance to the Appeal Committee through the Dean of Student Services. The statement shall contain:

- a brief narrative of the condition giving rise to the issue;
- a designation of the parties involved; and
- a statement of remedy requested.

- Formation of the Student Appeal Committee:

At the beginning of each academic year the University Chancellor shall appoint five faculty members to form the Student Appeal Committee. The Chancellor also appoints the Head of the committee.

Committee Action

Upon receipt of a written statement of an academic grievance request, the head of Student Appeal Committee (SAC):

- Determines prior to considering the case whether discussion between the persons directly involved, Head of department, and College Dean have been exhausted in attempting to resolve the issue.
- Notifies the parties named in the statement of receipt of a complaint naming them, and sends a copy of the statement to the named parties and to all committee members.
- Meets within two weeks after receiving the written statement to review the written statement and renders a decision as to whether sufficient ground is present to warrant a hearing.
- Notifies the grievant and the named parties of its decision in writing. If a hearing will be held, the SAC notifies in writing all parties involved, including witnesses, of the date, time and place of the hearing at least one week prior to the date set.
- Informs the parties that the providing of proof rests with the grievant.
- Requests in writing from all parties involved any pertained material deemed necessary for review by the committee prior to the hearing. These materials, plus any additional materials either party chooses to submit must be made available to the committee no later than four days prior to the hearing. Any person named in the grievance may submit a written statement to the committee outlining issues from their perspective.
- All communication among the committee, the grievant(s) and person(s) named in the statement of complaint will be confidential.

Hearing Process

- All hearing conducted by the Student Appeal Committee shall be conducted confidentially in the following manner:
- The Grievant(s) and respondent must be present during the information gathering portion of the hearing. Witnesses will be available, and called when needed. The committee reserves the right to allow the presence of a secretary.
- All statements during the information exchange phase of the hearing will be written.
- Any committee member may question any of the participants at the hearing, at any time during the proceedings.
- The grievant will present his/her statements and/or witnesses to the committee.
- The respondent will have the opportunity to question the grievant(s) and witnesses about their statements.

- After all information is exchanged, all persons, other than the committee members and the secretary will leave the committee room. The grievant(s), respondent(s) and witnesses will continue to be available to the committee should further information be needed.

Decision

The Dean/ Chair of SAC shall approve or reject the committee recommendation(s) within two weeks after it is received, unless the Dean/ Chair of SAC feels that more information is necessary, in this event the case will be referred back to the committee for further findings prior to decision. If the decision of the Dean/ Chair of SAC is not in accordance with the committee's recommendation(s), he shall state the reason for that decision, in writing, to the committee. The Dean/ Chair of SAC shall then take appropriate action to implement his decision. The grievant(s) and respondent(s) will be informed in writing of the Dean/ Chair of SAC's decision.

Appeal

1. The student may appeal the disciplinary decision issued against him in a letter addressed to the Chancellor or his authorized representative. The student shall submit the letter within a maximum of seven working days of his being notified of the decision, verbally or in writing, as per the academic calendar, otherwise the decision shall be final and enforceable.

2. The appeal shall only be accepted on procedural grounds if it is lodged within the legal deadline and it involves one or more of the following:

    - Failure to observe the investigation procedures provided for in the University policies and procedures.
    - Emergence of previously unknown evidence which might have influenced the decision.
    - The disciplinary action is not commensurate with the violation.

3. If the Chancellor or his authorized representative accepts the appeal on procedural grounds, he shall refer the case file back to the Committee for re-consideration, and its decision shall be final and enforceable.
4. Notification via the email provided to the student by the University or via a text message sent to the student's mobile phone registered with the University's Office of Admissions and Registration shall be legal and acceptable.
5. Appealing a disciplinary decision shall not lead to the aggravation of penalty against the appellant.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	27/03/2013	Minor change – merging of grievance and appeal	General Director of Student Affair Department
V 1.2	30/10/2018	Minor change to decision and appeal procedure	Dean of Student Services

Student Activity Policy

Policy Owner	Director of Student Life	Responsible Office	Office of Student Life
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May. 2019
		Next Review Date	Aug. 2021

Purpose

This document sets out the University's policy, which regulates student activities supervised by the Deanship of student services. This policy applies to students members enrolled at Ajman University.

Statement

- The Office of Student Life is responsible, and plays a vital role in governing, shaping and organizing activities that offer scientific, cultural, and entertainment benefits to students.
- The Office of Student Life, Deanship of Student Services and the Deans of Colleges are responsible for encouraging all students to participate in at least one activity to enable them to build their personality and to develop their extra-curricular talents.
- The unit of Student Activities and Development of the Office of Student Life is responsible of organizing several activities that should span a wide range of interests, covering social, cultural and artistic activities.
- The unit of Student Activities and Development should also act as the central support for a variety of student societies.

Social and Cultural Activities

Aim of Social and Cultural activities

a. widening and promoting the social aspects of the students' personality
b. training students for voluntary work.
c. contributing to the rapid integration of new students in University atmosphere.
d. Organizing Global day.

The unit of Student Activities and Development is responsible of the following main Social and Cultural events

a. Arranging and supervising meetings at which students are able to get to know each other to break down the psychological barriers between senior and new students.
b. Promoting social awareness among students including for a variety of charitable causes, such as visiting institutions, orphanages, hospitals, etc.
c. Organizing heritage day for all nationalities.
d. Organizing activities, during the holy month of Ramadan.

e. Cooperating with the UAE institutions and authorities in health-awareness campaigns on subjects such as illegal drugs and smoking.

f. Organizing blood donation campaigns in cooperation with the Ministry of Health.

g. Taking part in campaigns and events organized by formal authorities such as the National Day, Martyr's Day, Flag Day, Civil Defense, UAE national sports day, Happiness day and Traffic Week Festivals.

h. Offering regularly training courses on first aid and personality development.

The unit of Student Activities and Development supervises students in:

a. Organizing high quality intellectual and cultural lectures given by reputed experts from within and outside the University.

b. organizing cultural, intellectual, literary and scientific competitions, and awarding prizes and certificates for distinguished projects such as short stories, literary articles, scientific research and poetry competitions, to promote student creativity.

c. organizing readings, seminars, discussion forums and exhibitions of student work.

d. writing articles for publication in the University Magazine.

e. participating in cultural, intellectual and scientific competitions organized by educational, literary and scientific institutions in the UAE.

Student Council

AU recognizes two single-gender student councils for male and female students. Each student council consists of 15 members, 10 of which are nominated by the colleges while the remaining 5 are chosen through campus-wide elections. The Student Council's mission is to represent students and give them the opportunity to communicate their views and concerns to the Higher Management. It provides resources to various student, and endeavors to promote the values of teamwork, dedication and responsibility.

Student Clubs.

a. In collaboration with Colleges, the office of Students Life is responsible for supporting clubs, which exists in Deanship of student services and each college.

b. The goals of these clubs are to:

- Encourage student participation in a variety of activities to improve their performance and develop their leadership skills.
- Promote the spirit of cooperation among students, and encourage them to take on responsibility.
- Provide support to new students by advising them and helping them in their new academic life.
- Obtain student input regarding needs and wishes, and forward the information obtained to the unit of Student Activities and Development.

Art Activities

a. The unit of Student Activities and Development is responsible for promoting the aesthetic and artistic aspects of student life by:

- organizing exhibitions of student artwork in various areas to motivate talented students.
- encouraging students to design wall magazines to show their written and artistic work, exhibited in the halls and corridors of the University.

Sport Activities

The Unit of Athletics is responsible for encouraging the participation of a large number of students in sport activities that are available at the campus to build their physical wellbeing through exercises.

a. The Unit of Athletics is responsible for managing the usage of AU sport complex and facilities: fields for football, handball, basketball and volleyball, and the gymnasium.
b. The Unit of Athletics also organizes sporting events and coaches the various students teams in many indoor and outdoor national competitions, by:
    - forming University sport teams and arranging regular training sessions.
    - participating with universities and colleges from across the UAE in championships and sporting competitions organized by the Higher Education Sports Federation.
    - promoting health and fitness through body-fitness programs and courses in track and field sports, games and swimming.
    - ensuring that the University sport facilities and equipment are updated.
    - ensuring that safety standards are upheld.

Procedure

General terms

- All clubs are open to all AU students during their study years, and students may establish clubs/communities that promote their common interests.
- All clubs/communities are required to fill in an event's plan highlighting all the event's details, budget and requests to be submitted to the supervisors, and all events requested should meet club/communities' goals in line with AU's vision.
- If the requested events were not included in the club's semester plan, it should be submitted at least two weeks prior to the actual event date for approval.
- Clubs/communities must hold elections on yearly basis to select new board members.

Club/Community Membership

1. Memberships expire a year after registration and open for renewal the following year
2. Registration is open throughout the year but, will be closed one-week day prior to the board members' election of the selected club/organization.
3. Students may register as members of as many clubs/organizations as they wish.
4. Each club has to start with the minimum of 10 members and should increase this number by 10% every semester (part of the club's achievements)

5. Each club should host at least two activities on campus each semester. Typical activities could include, but are not limited to participating in the annual club fair, hosting a fundraiser, coordinating a service project, sponsoring a program or attending a conference; or else will be an inactive club and will be deprived from the budget allocated to it per semester, will be subject to cancellation.

Establishing a Student Club/Community

1. Applicants should submit a completed Student Club/ Community Registration Form, a list of the names and ID numbers of at least 10 students interested in being members of the club, a written proposal indicating the purpose of the club/ Community including its mission and goals, and the proposed club's/ Community's constitution stating the club's/ Community's rules and regulations (forms are available to be collected and filled at the club's supervisors' desk).
2. Completed Club/community Registration Form must be approved by the Unit's manager and the Director of Student Life.
3. It is recommended to select a faculty/staff advisor for the club/community where he/she guides and share his/her expertise with the members.
4. Once officially registered and recognized, a student club/community must have an official name, logo and mission that should be approved by the unit's manager in 3 weeks' time.
5. All clubs are obliged to operate in compliance with university rules and regulations.
6. All clubs and communities' events have to be inline with AU's vision and mission
7. For communities, it is preferable that the president of the club is a citizen of the country the community represents.
8. Each club and community must submit a semester's plan with all activities wished to be carried out.

Club/Community renewal process

1. The board members' life cycle is one year, elections process should start afterwards to give an opportunity for other members to be board members.
2. Any modifications request in the club's name or logo should be requested by the club's president from the club's supervisor's office and will be subject to approval in 3 weeks' time
3. Once approval is granted, clubs are announced as functional

Club/Community Events and Activities

1. Representations of the community's cultural events should be presented in the communities' semester plan.
2. During any event held by a club/community, students may seek advice from the club's advisor, supervisor and if needed the student's activities and development manager.

3. Once an event is approved by the student's activities and development manager, media and marketing aspects are to be covered by the Unit.
4. All Events have to be submitted by the club\community's president
5. Each club should utilize their talented members' skills during their carried-out events.
6. Each club should not exceed their 2k semester budget.

Club/Community Nomination and Election

1. On yearly basis, clubs/communities must hold elections to select new board members.
2. Club/community executives are required to serve one complete year in their posts.
3. Students cannot run for more than one of the top four positions of two different clubs simultaneously; however, they are able to run for a top position and a lower position in two different clubs/organizations.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial Policy	Deanship of Student Services
V 1.1	20/09/2012	Minor change in policy authority	Director of Community Service
V 1.2	09/05/2019	Inclusion of student council, student clubs and arts activities / procedure for clubs establishment	Director of Student Life

Student Right and Responsibility Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2017
		Next Review Date	Jul. 2020

Purpose

This document sets out the University's policy, which regulates the Rights and Responsibilities of students during their period of studies at the University. This policy applies to students members enrolled at Ajman University.

Student rights

a. The Student Affairs Deanship is responsible for ensuring that the academic staff and non-academic staff are informed of the rights of students.

b. Each academic advisor is responsible for ensuring that his/her advisees are aware of their rights during their study at AU.

c. Each student has the right to receive the course description of his/her courses which includes the learning outcomes of the course, and the assessment methods used to determine his/her Final Grade in each course.

d. Each student has the right to expect that his/her Instructors masters the subject and are open to discussion of different points of view or ideas related to the content of the course.

e. Each student has the right to classes in which the Instructor does not propagate his/her points of view on subjects, which are not relevant to the content of the lecture.

f. Each student has the right to object to changes of the schedule of his/her courses after the end of the Add/Drop Period.

g. Each student has the right to be received by his/her instructors during the office hours, which are published by the Instructors.

h. Each student has the right to receive, on time, the copy of his/her assignment, quiz, project, Lab report, after having been graded by the Instructor.

i. Each student has the right to introduce a Grade complaint request about his/her Final Grade during two weeks after the announcement of the results.

j. Each student has the right to request an adequate learning environment atmosphere during his/her lecture

k. Each student has the right to be received, after taking an appointment if required, by his/her Head of Department, Dean of College, deans/managers of service units, and by the Vice-Chancellors.

l. When a student believes that one of his/her rights was violated, he/she has the right to seek redress, bearing in mind that the University aims to resolve conflicts at the lower level.

m. Each student has the right to raise his/her concern to the Dean of Student Services who is the most appropriate staff member to resolve conflicts.

Student Responsibilities

a. Each student is responsible for reading the policies and regulations that are published in the student handbook which is, available on the University website www.ajman.ac.ae
b. Each student is responsible for making progress to achieve his/her educational goal.
c. Each student is responsible for the selection of his courses after consultation with his/her academic advisor.
d. Each student is responsible for checking that registered courses were not cancelled during the Add/Drop period by the College.
e. Each student is responsible for finding legal financial sources to finance his/her studies.
f. Each international student is aware that the University is not responsible for obtaining the residence visa for him/her if it was declined by the competent administration.
g. Each student is responsible for his/her compliance with the Code of Conduct.
h. Each student is responsible for the consequences that follows the discovery that he/she used falsified document(s) for his/her admission or during his/her studies at the University.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Deanship of Student Services
V 1.1	15/10/2017	Minor change	Deanship of Student Services

Student Counseling Policy

Policy Owner	Counseling Manager	Responsible Office	Counseling Unit
Approved By	Vice Chancellor for Academic Affairs	Effective Date	May. 2017
		Next Review Date	Jul. 2020

Purpose

The University recognizes the importance of a counseling service, and the need for healthy and safe study environment that will contribute to the well-being and productivity of staff and students. The Policy main purpose is to:

- Outline the University's commitment to provide counseling to all students.
- Ensure compliance with all applicable regulations.
- Manage mental and social health of the students appropriately for the protection of the university's reputation and standards for current and future students.

Statement

a. All students at AU have access to the social and psychological benefits associated with mental health issues provided the University Student Counseling office.

b. Student counseling office (SCO) works with students struggling with a variety of personal issues. Ensuing are some of the common concerns:

- Adjustment to college life
- Academic challenges
- Issues of past, recent, or present physical, emotional problems
- Emotional distress (anxiety, stress, grief, depression)
- Low self-esteem - feelings of inadequacy
- Relationship issues (marital, friends, roommates)
- Past or recent losses or trauma
- Spiritual challenges
- Body image, eating, and nutritional concerns
- Crisis situations when life gets overwhelming (including feeling suicidal and all other mental-health emergencies)
- And many other unique issues specific to each person.

c. Any effective system for administering counseling student mental health benefits must accommodate a wide variety of student circumstances. More frequently than not, these accommodations conflict with each other, so a single procedure to be followed by each student is not likely to satisfy all students. Therefore, the system that has evolved is designed to provide options meeting as many needs as could be anticipated at the time this document was prepared.

   i. If it becomes clear in the counseling session that there is a real danger to oneself or to others, we are required to take action.

   ii. Additional records of sessions are sometimes taken such as the counselor's personal notes and audio tapes. These are destroyed in a timely manner and do not become part of an individual's counseling record.

   iii. Each individual is entitled to privacy in his/her work with a counselor.

   iv. All contacts with the counselor are confidential to the Student Counseling office professional staff.

   v. Written permission is required for Counseling Services to release information to others outside the Counseling Services.

Students who fail to attend counseling service cessions

- Counselor will attempt to contact students through secure messaging to schedule another appointment suitable for both counselor and student:
  a. Contact will include a reminder of the failure to attend cession.
  b. If the counselor does not hear from student within two weeks of the initial no-show, counselor will render the file inactivate.
  c. If the student does not schedule within 30 days, the student's file will remain inactivated and the student may have to complete the initial intake process if the service is requested at a later date.
  d. Additionally, if a student is chronically late in canceling his or her appointments, the student may become ineligible for services. If a student does not notify the Student Counseling office with at least 24 hours' notice on two consecutive occasions, the student's next appointment will be at least 30 days from the last cancellation.

Guidelines for Housing/Counseling considerations

- These guidelines will be used when reviewing the housing counseling request.
  a. The process of verifying and reviewing a Counseling Request can take one week or more before a decision is made and the student is informed of the decision.
  b. The student is strongly encouraged to sign a Release Form with his/her Medical/Mental Health Professional. This will allow the University Housing to verify the submitted information.

c. If the student is currently seeing a Medical/Mental Health Professional, the student will need to provide documentation from the Medical/Mental Health Professional, on the professional's stationary, detailing:

   i. Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.

   ii. Treating Medical/Mental Health Professional's contact information.

   iii. Psychological disorder.

- If the student is not currently seeing a Medical/Mental Health Professional, the student will need to do the following:

a. Make an appointment with a Medical/Mental Health Professional.

b. Be seen or under treatment for a minimum of FOUR visits (more visits may be necessary if clinically required) with the Medical/Mental Health Professional.

c. Provide documentation from the Medical/Mental Health Professional, on professional's stationary detailing:

   i. Length of time the student has been seen/under treatment by the Medical/Mental Health Professional.

   ii. Treating Medical/Mental Health Professional's contact information.

   iii. Psychological disorder.

d. At AU student Counseling office, the student's issue must be clinically significant and be directly related to the Housing situation. Merely having a psychological disorder does not indicate that the Medical/Mental Health Professional will recommend that a Housing contract be cancelled. Each request will be reviewed by the entire clinical team before a recommendation can be made. Ultimately, the final decision will be made by University Housing.

Release of Policy Information

- All communication between a student and a counselor, psychologist, or psychiatrist is confidential and will not, except under the circumstances explained below, be disclosed to anyone outside of the Counseling Services unless written authorization to release information is given.

  A Release of Information Form will need to be signed to have a Counseling Services professional staff communicate the information to any concerned party.

  A record is kept of a student's work with the UCC. It contains information a student has provided to the Counseling Services in writing as well as counseling notes from the student's sessions. The record remains in the Counseling Services for a period of three years following the student's last visit; at that time, it is destroyed.

- Most limits to confidentiality are to ensure safety. If there is evidence of imminent danger of harm to the student or other(s), the UCC will take action.

- Counseling information cannot be released to the following without the client's consent:

a. Parents or guardians, spouse, siblings, or significant other

b. Another doctor, lawyer, or health organization

c. Insurance company.

- *Procedure:*

1. A student may review his counseling record in the confines of the Counseling Services office with a counselor and only by appointment.
2. A student wishing to grant release of information to another party must complete the Release of Information form.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Council Service Director
V 1.1	20/09/2012	Minor change in policy authority	Director of Student Affairs
V 1.2	09/05/2017	Minor change	Counseling Manager

Student Complaints Policy

Policy Owner	Dean of Student Services	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Jul. 2021

Purpose

This policy applies to all enrolled students and is designed to enable them to lodge a complaint with full confidence, knowing that their complaints shall be dealt with in all confidentiality and assurance of no detriment to the student.

Statement

Ajman University (AU) strives to fulfill the needs of students through quality education and aims for the highest standards of excellence in all its activities. AU takes any legitimate student complaints very seriously in relation to the provision of services, and attempts to solve them in a clear, transparent, and objective manner.

A complaint is an expression of discontent by a student or group of students, which resulted from a decision, action or behavior related to services provided by the University that are described in its catalogs and handbooks.

This policy does not intend on replacing other complaints mechanism existing within the University, and complaints of the following nature are not within the scope of this policy:

a. Anonymous complaint
b. Student grades or examination results
c. Disciplinary issues related to the Code of Conduct

Procedure

1. All complaints will be handled with discretion and confidentially to ensure that the interests of the student as well as the member of staff are respected and preserved.
2. All complaints will be recorded and filed with the Deanship of Student Services Office and their records will be kept for a minimum of five years.
3. Whenever possible, a student with a complaint should seek to resolve the complaint informally by raising the matter directly and at the earliest with the relevant member of staff, that could either be a Dean of College, a Director, or Manager.
4. In the event the informal approach has not produced a satisfactory result, the student can lodge formally in writing the complaint with the Deanship of Student Services within two (2) weeks of the initial incident to the email address: ***studentvoice@ajman.ac.ae***.

5. To ensure that the complaint is dealt with efficiently and promptly, student full name, ID number, College name, Major, and contact information must be provided, in addition to any supporting documentary evidence.

6. Upon receipt of the written formal request and confirmation that the complaint falls within the merits set by the policy, the Student Affairs Coordinator shall refer the complaint to the relevant designated official responsible for the service to investigate the issue(s) raised.
7. The student will receive acknowledgment of receipt and will be informed on the steps taken in addition to the time frame for the investigation outcome.
8. The designated official responsible for the service shall submit a report to the Student Affairs Coordinator with the findings within fifteen days (15) of receipt of the complaint and the Student Affairs Coordinator shall inform the student in writing with the results.
9. If the student is still dissatisfied with the outcome and considers that the complaint is still unresolved, He/She may raise the issue within seven days (7) with the Dean of Student Services, stating in writing the grounds for disagreement with the outcome.

   Student disagreement with the outcome of the investigation does not constitute a ground for further review, unless it is related to the availability of new evidence or an error with the complaint process. Nevertheless, the Dean of Student Services shall organize a meeting with the student and seek to clarify any outstanding issues and convey the reason behind the investigation outcome.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Director of Student Affairs
V 2.0	29/10/2018	New policy	Dean of Student Services

Student Athlete Class Attendance Policy

Policy Owner	Director of Student Life	Responsible Office	Deanship of Student Services
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Dec. 2018
		Next Review Date	Aug. 2021

Purpose

This policy intend on helping AU Student Athletes succeed educationally by maintaining the balance among academic, athletic and personal growth.

Statement

Student Athletes are expected to attend all scheduled classes unless excused by the professor/instructor as a result of scheduled intercollegiate sports competitions that conflict with classes. However, Student Athletes should make an effort to schedule classes that limit the amount of class missed due to scheduled intercollegiate sports competitions and associated travel.

It is the responsibility of the Student Athletes to notify their professors/instructors in advance of impending class absences due to intercollegiate sports competitions. If a Student Athlete has provided an official excuse letter in a timely manner, the professor/instructor may not penalize the Student Athlete academically for these absences and is expected to provide reasonable assistance to the Student Athlete concerning instruction and assignments that were missed. Classes should not be missed for practice, meetings or other non-competitive reasons. Student Athletes are not permitted to participate in intercollegiate sports competitions on any day on which final exams are scheduled.

Procedures

- Student Athletes must consult with their professors/instructors and coaches in advance to eliminate as many conflicts between classes and intercollegiate sports competitions as possible.
- Student Athletes should request an official excuse letter from the Office of Athletics when intercollegiate sports competitions conflict with their classes. Student Athletes are expected to give as much notice as possible to the Office of Athletics.
- Student Athletes should submit the official excuse letter to their professors/instructors prior to the scheduled games or matches. Nevertheless, it is understood that weather condition and sports tournament play might result in late changes to the schedule. If a late schedule change is made, Student Athletes are expected to communicate with their professors/instructors and inform them accordingly.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	29/10/2018	New policy	Director of Student Life

Student Finance Policy

Policy Owner	Chief Operating Officer	Responsible Office	Office of Finance
Approved By	The Cabinet	Effective Date	Sep. 2017
		Next Review Date	July. 2020

Purpose

AU's Student Finance Policy is set to inform students, parents or sponsors about the financial rules and regulations implemented by AU, in addition to the financial responsibilities, associated with admission to graduation processes, withdrawal or dismissal from the University. Students have the right to re-fund, exemption, or receive scholarships according to clear and well-defined rules and regulations.

Application and Registration fees

- Application and registration fee for undergraduate programs and Professional Diploma in Teaching is AED 1,300 paid in cash as one installment upon the submission of admission application and is not part of the tuition fees. The application and registration fee is non-refundable, except when the student's application is rejected in which case an amount of AED 1,000 will be refunded to the student.
- Students who wish to apply for transfer of courses from other accredited institutions pay a non-refundable fee of AED 500. This fee shall be considered part of the application and registration fee if the student is admitted in Ajman University.
- Students admitted to the Medicine, Dentistry, Pharmacy, Bachelor of Architectural, and Doctorate of Business Administration are required to pay a seat reservation deposit. This deposit is non-refundable and non-transferable and must be paid before the deadline stated on the letter of admission. This deposit is deductible from the student's tuition fees once the applicant joins the university. If the student asks to defer admission to the following semester and the request is approved, the deposit will be applied to the following semester.
- The application and registration fee for graduate programs is AED 2,000 paid in cash as one installment upon the submission of admission application and is not part of the tuition fees. The application and registration fee is non-refundable, except when the student's application is rejected in which case an amount of AED 1,700 will be refunded to the student.

Tuition fees

The University reserves the right to increase the tuition and other fees up to 10% per academic year when deemed necessary, and as per Federal Law no. (8) of 2017 on Value Added Tax, 5% VAT will be added to all item outlined in additional fees.

- ***Undergraduate and Graduate credit hours fees*** for courses and programs are determined in accordance with the credit hours system.

- ***Laboratory, Clinic and Studio Fees***
  - Students registered in the programs offered by the College of Dentistry and College of Pharmacy and Health Sciences pay a flat semester fee for specialized laboratory sessions and clinics.
  - This fee does not include lab fee included in the study plan for the program of Architecture and Interior Design, and the program of Bachelor of Art in Mass Communication.

- ***Additional Fees encompass the following*** :
  - Orientation service Fee
  - Lab fee for each registered course having lab sessions
  - fee for courses having a tutorial sessions
  - fee for graduation project courses for the College of Architecture, Art and design, and the College of Mass Communication
  - fee for internship courses

Upon registration, students should pay the tuition fees in full in order to avoid the late payment fees or suspension of any or all AU services. The Office of Finance has the right to take any necessary action against any student who has not settled their due balance, including suspension of registration, dropping the registered courses, suspension of services, and ineligibility to attend exam sessions.

Refund

a. Application and Registration fee

- The application and registration fee is not part of the tuition fees. It is non-refundable, except when the application is rejected.
- The application and registration fee for the graduate programs is not part of the tuition fees. It is non-refundable, except when the application is rejected.

b. Add/Drop Period:

- During the add/drop period, students may add or drop courses without incurring charges. If a student withdraws from one or more courses during the add/drop period, the fees of the dropped course(s) will be credited to the student account for the following semester.
- A student may withdraw from one or more course(s) after the end of the add/drop period, provided s/he remains registered in at least three courses during that semester (nine credit hours). In this case, the student does not have the right to claim any refund for the fees of the withdrawn courses.

c. Suspension of Registration:

- During add/drop period, a student may submit an application for suspension of registration for one or a maximum of two consecutive semesters. The application should be submitted to the Office of Admissions and Registration. In this case, the full amount of any fees paid shall be credited in full to the student's balance for the following semester, or refunded two weeks after the submission of the application for refund to the Student Account Officer (at the Office of Finance).
- If the student submits an application for suspension of registration for one or two semesters during the two weeks following the end of the add/drop period, he/she shall be entitled to only 50 percent of the tuition fees of the semester in which he/she submits the application for suspension.
- If the student submits an application for suspension of registration after the end of the two weeks following the add/drop period, he/she will not be entitled to claim a refund of any part of the tuition fees of the semester in which he/she submits the application for suspension.
- If a student wishes to reclaim any amount from a credit balance – in case of suspension only, he/she must fill in an Application for Refund Form and submit it to the Student Account Officer (at the Office of Finance) after the end of the add/drop period. A cheque payment will be prepared within two weeks from receiving the application. If the student fails to do this, the amount will be credited to the student balance for the following semester.

d. Withdrawal from the University:

- During the add/drop period, the student may submit an application for suspension of registration and withdrawal from the University. The application should be submitted to the Office of Admissions and Registration. In this case, the student is entitled to a full refund of tuition fees paid for the semester in which he/she submits the application for withdrawal. The refund will be made within 1 week after the submission of the application for refund to the Student Account Officer (at the Office of Finance).
- If the student makes an application for suspension of registration and withdrawal from the University within the two weeks following the end of the add/drop period, he/she is entitled to a refund of only 50 percent of the tuition fees for the semester in which he/she submits the application.
- The student shall not be entitled to claim a refund of any part of the tuition fees if the application for suspension of registration and withdrawal from the University is made more than two weeks after the end of the add/drop period.

e. Disciplinary Dismissal:

A student who is dismissed from the University for disciplinary reasons is not entitled to any refund of tuition fees of the semester of dismissal.

Books

The University will supply course E-books to students at reasonable prices. It should be noted, however, that a student in receipt of a fee exemption as listed above will not be provided with E-books without charge.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Vice President – Administrative and Financial Affairs
V 1.1	20/09/2012	Minor change - fee waiver	Financial Controller
V 1.2	03/09/2017	Revised terms for registration fees, refund, and suspension of registration.	Chief Operating Officer

AU Student Records Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

This document sets out AU's policy on the collection, use and disclosure of personal information that forms part of the official student record. It applies to the Office of Admissions and Registration, and all other academic and administrative units that are primary and secondary custodians of specific data collected and stored about the students of the University.

Student Record

- Ajman University creates and maintain electronic academic record for each student who is admitted in the University. This record shall be created at the time of admission, and shall be maintained throughout the duration of the student's enrollment as the official record of the student's academic activities, transactions, performance, and achievements.
- Academic transcript represents the transactional certification of the student's performance and academic status within the University including degrees awarded.
- The Student Information System (SIS) is the University's official repository of student academic records.
- Only the Office of Admissions and Registration can modify student information. Any request to access the Student Information System requires the approval of the registrar.
- Depending on their roles and responsibilities, faculty, staff, and students might be authorized to have access to SIS to perform certain student academic transactions as appropriate.
- The Office of Admissions and Registration is the Custodian of student academic records and data, and the Custodian of Student Information System (SIS).

Maintenance and back-up of student record

- Hard Copy of student records received before admission of 2019-2 are stored in a secure, fireproof cabinet on University premises for a duration of 5 years after student graduation or student last attendance date.
- The Office of Admissions and Registration will only start accepting and maintaining digital copy of student records once the original copy is seen and corroborated by the Office of Admissions and Registration. The original copy will then be returned to the student.

Retention and disposal of records

- Hard copies of Enrolled students' files will be kept by AU for all students admitted before 2019-2 for a period of 5 years after student graduation or last date of attendance.
- The hard copy of the final course marks submitted by colleges to the Office of Admissions and Registration before 2019-2 will be kept by AU.
- Only digital copies of the final course marks will be maintained after 2019-1

- The final examination papers shall be kept by College Departments for two semesters.

Permanent Academic Record

A permanent academic record reflecting the academic achievement of the student who registers at AU is maintained by the Office of Admissions and Registration.

a. Student Records:

All documents submitted to the University in support of an applicant for admission become the property of Ajman University and, as such, become under the control of the Office of Admissions and Registration.

The University is not required to provide (or allow the making of) copies of these documents.

b. Digital student record file includes:

❖ **Administrative documents:**

- Personal information including information about high school certificate.
- High School certificate, and grade certificate, equivalency certificate (when applicable)
- Passport's copy, Health certificate, Conduct certificate, and Photos
- Application form, any eventual undertaking.
- Address of the student
- Changing Personal Data

❖ **Academic documents**

- Status of the student (regular, suspended, dismissed).
- Grade transcript for each semester and timetable of registered courses.
- Transfer credit information including names and dates of attendance at other post-secondary institutions, courses taken and credit hours and final grades earned, degrees, diplomas, and other awards, and related information.
- Degrees and awards earned including date awarded, degree, College, major(s) and minor(s) and CGPA.
- Academic disciplinary information, if applicable.
- Soft copy of requested transaction such as: form of transfer to another major, add and drop form, change section form, request of transfer form.
- All academic transactions:
    - Grades and registered courses in each semester
    - Grade Transcript
    - All financial transactions.
    - Registration Suspension
    - Re-enrollment
    - Grade Complaint, Incomplete request, Re-sit-Exam,
    - Course Equivalency

- Clearance Form

Security and confidentiality

a) Ajman University safeguard the privacy of students and confidentiality of their academic records.
   - Individuals with access to protected student academic records have an affirmative responsibility not to release that information to any third party.
   - Relevant offices with access to student academic records may not release any information without the prior consent of the student.

b) Only authorized staff can execute result of grade complaint, or change spelling of the student's name. Furthermore, the Registrar has an information system that detects any eventual change of grades on the system. The history of all transactions can be traced.

Access to and disclosure of Information

Consent to disclosure of personal identification is within jurisdictions of UAE federal laws. The following are some exception, which permit disclosure without consent:

- Disclosure to university official with legitimate educational interest.
- Parents are given access to the student academic record unless the student requests otherwise and parents will be informed accordingly.
- Sponsors are given access to the student academic record unless the student requests otherwise, sponsors will be informed accordingly.

Non-Academic Student Records

a) The University maintains non-academic student records in other departments interacting with students.

b) Use, confidentiality, and access to such records are determined by the University department responsible for the service, activity, or function involved.

Student Record Retention and Disposal

- Beginning 201920 the Office of Admissions and Registration will stop accepting hard copies and will not keep any original certificate. All original certificates will be returned after verification.

- Starting 201820, graduating students or students submitting clearance to leave the University shall have their original certificates returned to them by the Office of Admissions and Registration.

- For all received document from students AU is committed to protecting the security and confidentiality of protected information created or received in the course of business. The University's Record Retention Schedule prescribes the length of time that records created or received by the University must be retained. Once record reach the end of the scheduled

retention period, they should be disposed off. Records disposition is the final phase of a record's life cycle. This policy outlines the appropriate methods for disposing of University records slated for destruction.

Student File Records Disposal

Documents	Scan	Enrolled (5 years after graduation or last date of attendance)	Not Enrolled (1 year after application semester)
Bachelor Certificates	YES	5 years / last date of attendance	1 year
AU Transcripts		5 years / last date of attendance	1 year
Transcripts (other colleges)	YES	5 years / last date of attendance	1 year
High School Certificates	YES	5 years / last date of attendance	1 year
Release from high school certificate	YES	5 years / last date of attendance	1 year
Equivalency Certificates	YES	5 years / last date of attendance	1 year
English Proficiency test score	YES	5 years / last date of attendance	1 year
Good Conduct		5 years / last date of attendance	1 year
Passport	YES	5 years / last date of attendance	1 year
Residency		5 years / last date of attendance	1 year
Emirates ID	YES	5 years / last date of attendance	1 year
Health Certificate		5 years / last date of attendance	1 year
Recommendation letters		5 years / last date of attendance	1 year
Personal Photos	YES	5 years / last date of attendance	1 year
Admission Letters		5 years / last date of attendance	1 year
General Letters		5 years / last date of attendance	1 year
Registration Suspension Forms	YES	5 years / last date of attendance	1 year
Re-registration forms		5 years / last date of attendance	1 year

Changing Major Forms		5 years / last date of attendance	1 year
Courses Equivalency Forms	YES	5 years / last date of attendance	1 year
Course Description		5 years / last date of attendance	1 year
Incomplete Forms		5 years / last date of attendance	1 year
Registration Exception Forms		5 years / last date of attendance	1 year
Clearance Forms	YES	5 years / last date of attendance	1 year
Name change authorization	YES	5 years / last date of attendance	1 year
Disciplinary decisions	YES	5 years / last date of attendance	1 year
Graduating decisions	YES	5 years / last date of attendance	1 year
Verification Letters	YES	5 years / last date of attendance	1 year
Graduation certificate receive copy	YES	5 years / last date of attendance	1 year
Receipts		5 years / last date of attendance	1 year

Destruction/Disposal Guidelines

The disposal of student records must occur in accord with retention schedules, after destruction approval is granted and then in a secure manner. Any document (paper, form, report, etc.) that contains personally identifiable student information, even if it is not considered to be an official student record, cannot simply be placed in the trash. The appropriate method should be chosen for each office based on the volume of materials and the availability of shredders or recycling bins.

Shredding – any document with personally identifiable information can be shredded and then placed either in a recycle bin or in the trash.

Burning – any document with personally identifiable information can be burned.

Student Assessment Records

The main database of student results is SIS which is managed by the Office of Admissions and Registration. The Office of Admissions and Registration retains permanently as archives the grade results of all courses. Official transcripts of results are generated by the SIS, based on the data supplied to it by faculty members.

Notwithstanding the paramount importance of the centralized record keeping systems, academic units generate and accumulate significant records relating to student' progress and these need to be

managed appropriately. Work completed by students for assessment, including essays, assignments, presentations, examination scripts, but not theses, need to be retained for a minimum of one semester (final exam papers are kept for a minimum of one academic year) before being destroyed.

This is the period set by the Academic and Scientific Council resolutions. Copies of theses for higher degrees are retained in the University Library.

Student result records

Although the digital official results records are those maintained by the Office of Admissions and Registration, academic units will have local records of students' achievements in particular components of a unit of study or course. Such records must be kept for a minimum of one year. Records of changes to assessment results should be attached to the University results file.

Teaching

Most course delivery records retained locally in academic units need only to be retained as long as they are needed for teaching or administrative purposes. This includes course notes, study guides, reading lists, assignments etc. Records relating to teaching policy matters are required as University Archives.

Electronic Information

Disposition of electronic information must be performed in a manner that protects private or confidential information. The sale, donation, scrapping, or internal University transfer of computers or other electronic devices requires the secure destruction of information contained on the computer or electronic device.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Dean of Admissions and Registration
V 2.0	26/03/2013	Major amendments –new guidelines and procedures governing student records	Dean of Admissions and Registration
V 1.2	23/07/2017	Minor revision to disclosure of information/ and file record retention and disposal.	Registrar

Student Information Release Policy

Policy Owner	Registrar	Responsible Office	Office of Admissions and Registration
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

This document purpose is to outline the university's commitment to protect all members of the university community and ensure compliance with all applicable regulations.

- **AU releases information in accordance with the following guidelines:**

a. The following may request information from AU database in support of approved activities. Those departments and units include but are not limited to:
   - Administrative units of AU
   - Academic units of AU
   - Higher Administration
   - Student Affairs Deanship
   - Career Development Center
   - Alumni Office
   - Law enforcement agencies.
   - Academic screening agencies (consent of the graduates).

b. All requests from anyone else seeking information on another person will be forwarded to the registrar so that he/she can decide whether to contact the requestor.

c. The office may release pass/non-pass grade information to student sponsors to facilitate their payments of AU coursework.

d. The office will release student identification, contact, and other related information to the other Offices e.g. Deanship of Student Services so it can:
   - Offer Society membership to new students.
   - Invite new students to its Meetings and Seminars.
   - Announce Deanship's sport and cultural activities.

e. The office will release students' names, addresses, and information on examinations passed to colleges, department and class lecturers so they can monitor class pass ratios, or recognize educational achievement.

f. The office do not release students' contact information to third parties for marketing purposes.

g. Bachelor/Master/ Diplomas and certificates are the personal property of students. Upon program completion, a diploma or certificate is handed directly to the student unless the student authorizes its release in writing to another person or entity.

h. The Registrar may publish a list of the academically warned students for the University and may publish other lists in AU's news site or media for recognition purposes.

i. All requests for information from members of the media must be referred to the Office of Vice Chancellor for Advancement and Communication.

j. Following is information that may be released from the office of Admissions and Registration database: Information available for release is limited to:

- Full name
- Address and telephone number
- Degree(s) and date of degree(s) awarded by AU
- Grade obtained (CGPA)
- Employer address and telephone number
- Email address
- Fax number(s)
- Miscellaneous comments, awards.

k. *Formats available for distribution of information.* Information may be obtained in the form of lists, USP, and downloads by authorized University representatives in support of approved activities.

l. It is the responsibility of the unit requesting information to maintain the absolute confidentiality of that information as specified in this policy statement.

m. *Compliance with the above policy.* Failure to abide by any of the regulations stated within this policy may result in denial of access to information contained in the Office of Admissions and Registration database.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial Policy	Dean of Admissions and Registration
V 1.2	23/07/2017	Minor change – type of information release	Registrar

Career and Placement Services Policy

Policy Owner	Career and Placement Services Manager	Responsible Office	Career and Placement Office
Approved By	Deanship of Student Services	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Purpose

The main purpose of this policy is to train senior students and graduates to explore and attain their career goals, connect them to information resources related to job market in the UAE and the region so that they can become more knowledgeable about jobs and occupations, and assist them to become active managers of their career path and lifelong learners.

Statement

Career and Placement Services Office at AU was established to cater for the career counseling needs of students and alumni alike. Organizationally, the office works under the auspices of Deanship of Student Services, and embrace the mission to educate and serve AU students and Alumni to successfully identify, plan and pursue their career goals. In doing so, the Career and Placement Services Office supports AU's mission in providing quality services to its students and community by enhancing their employability potential as well as by liaising with prospective employers. This is done in coordination with the Continuing Education Center (CEC) at AU.

AU Career and Placement Services Office is set to achieve the following objectives:

- To assist students and graduates to make decisions, setting goals and making plans as far as career is concerned.
- To assist students upon entry in selecting course offerings most relevant to their career aspirations and interests.
- To raise students' awareness of possible options for planning post-graduation phase.
- To direct students and graduates to supplementary skills necessary to meet evolving job requirements.
- To signpost students and graduates to resources available for job search.
- To assist students and graduates in acquiring skills necessary for effective job search.
- To post job ads electronically and on signboards campus-wide.
- To provide AU with job-market information to assist in academic planning.
- To establish relations with employers on a win-win basis whereby the CPS at AU will help in providing necessary logistics for on-campus recruitment or for CV screening processes.
- To liaise with businesses, government and organizations for possible internship, voluntary or part-time opportunities for students and graduates.
- To establish a plan for assessing the performance of career services and activities.

Guidelines

- The CPS is AU's body responsible for achieving the objective of this policy by drawing on a developmental approach to career counseling. It recognizes the evolving nature of the present day job-market and acts accordingly. Thus, the CPS is set to be a mechanism to provide support to AU students and graduates in establishing career directions. This can be done through assisting them to identify and learn the skills by which they can be more effective in planning for and choosing jobs, and in making successful transition. Additionally, the increasing fragmentation of career traditional model has brought about the need for life-long learning skills and the ability to make well-informed decision regarding one's career change.
- From this perspective the CPS is planning to develop a guidance curricula specifically designed to address main issues in matters related to careers. Possible topics will include decision-making process, personality analysis, values and attitudes, career planning, training options available nationally and internationally, job search techniques and resources, among others. The list of topics is subject to consultation with Deans and Heads of departments in order to meet concerns and specific needs of students and graduates of different academic programs offered at the University.
- The career curricula program will be two-fold; one is destined to student at pre-entry level and is hosted in the College of University Requirements and Academic Counseling. It is conducted by a faculty, who assists pre-entry students in making an informed decision about the right academic program that suits their professional ambitions and interests. The second program will be hosted at the CPS and it will be destined to junior, graduating students as well as Alumni. Particular focus will be on matters linked to career decision making, supplementary skill development, job search techniques, resume and application letter writing, interviewing skills, planning and so forth. The delivery of some lectures can be devolved to former AU graduates or to people from the business circles who can enlighten students about their experience, talk about the existing career opportunities and inform them about the most sought- after skills in the market.
- These activities will be structured following two distinct ways: through group sessions or through individual or small group settings. Other measurement tools, like questionnaires, planned interviews, an aided-computer matching program and other guidance software kits will be made available to supplement the lecturing content.
- The second main area of the CPS intervention relates to career placement and more particularly employer liaison. It will include such activities as organizing selection interviews on campus, arranging employer presentations, organizing careers fairs and collecting, posting and disseminating vacancy information.
- Other plans involve encouraging entrepreneurial initiatives and self-employment. For this, the CPS in collaboration with the AU Alumni Office has in plan to invite on regular basis financial institutions that are willing to sponsor AU graduates' start-ups.
- For assessment of the performance of the CSP towards achieving the objectives of the career service policy, the office has developed a mechanism for continuously assessing its performance. For this, the CPS prepares annual reports destined to the University top management and to its direct community of students, graduate and its employers' network. Other tools of self-assessment involve keeping

statistical records on attendance, student feedback, and evaluation sheets subsequent to counseling or placement activities. The CPS aspires to cooperate with AU's Office of Institutional Planning and Effectiveness (OIPE) for more measurable benchmarks against which the CPS can evaluate its performance and eventually plan.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Scientific and Educational Affairs Council
V 1.1	20/09/2012	Revised - minor adjustment	Director of Student Affairs
V 1.2	23/07/2017	Minor revision with addition of new guideline terms	Career and Placement Services Manager

Student Career Advancement Program Policy

Policy Owner	Career and Placement Services Manager	Responsible Office	Career and Placement Office
Approved By	Deanship of Student Services	Effective Date	Oct. 2018
		Next Review Date	Jul. 2021

Purpose

This document sets out the University's policy, which regulates AU career advancement programs within the University for all enrolled university students and graduates.

Definitions

Trainee Student: AU Student who is registered in undergraduate or postgraduate program within AU and looking to acquire further practice/experience for the future career advancement.

Graduate Trainee Student: AU Student who has completed all required courses and looking to acquire further practice/experience for the future career advancement.

Line Manager: Dean of the College, Department Head, Director or Manager.

Statement

Since its inception, AU has supported the concept of student training program, and this training will involve activities that will support student career and will not result in any displacement of students or impair existing academic status. In addition, accepting students in any department within the university does not suggest or guarantee a full time position within the Office structure.

- All training opportunities will be announced by the Career and Placement Services.
- Training opportunities priority will be given to UAE national students / Graduate Trainee Students and then to other AU Trainee Students.
- Training requests should be submitted by the student based on an advancement opportunities offered by the Line Managers.
- Line Managers should assign annual budget for student training purposes.
- All students will be required to complete a selection procedure, which will assess them against a range of specified criteria. The selection process is based primarily on several carefully considered factors such as HR assessment, student records, and Dean's feedback of capability to assume responsibility, experience, knowledge, skills, related qualifications, and career interests. These factors will be considered against the availability of opportunities and the qualifications of other students.
- The maximum hours a Student may work during the academic year is four hours per day.

- The maximum hours a Graduate Trainee Student may work during the academic year is eight hours per day.
- AU may grant a lump sum amount for the students as an appreciation incentive for the period of the training.
- Enrolled students will receive AED 23 per hour.
- Graduate students (Except Engineering Graduates) will receive an AED 30 per hour.
- Engineering Graduate students will receive an AED 42.6 per hour.

Procedures

- At the beginning of each semester, the Career and Placement Services will send a memo to all AU departments who have Student career advancement opportunities.
- Line Managers must complete the Student Career Advancement Requisition Form and submit it to the Career and Placement Services.
- After receiving the feedback from concerned Line Managers, Career and Placement Services will announce to all Students about the training opportunities available within AU.
- The Career and Placement Services will liaise with AU Alumni Association to announce all career advancement opportunities available to AU fresh graduates.
- After receiving the request(s) from the Line Managers, the Career and Placement Services will share appropriate student database with the requesting department.
- Line Managers may seek the support of the Human Resources Department expertise to conduct a panel interview, in order to select the most appropriate student for the training program.
- The Line Manager after selecting the successful student will inform the Career and Placement Services Office officially about the decision and the period of the advancement program.
- In order to encourage the students to take the advancement program seriously and achieve its objectives, the duty of the student should be recorded using an attendance sheet as record log.
- The Line Manager is responsible for sending the program report along with the attendance sheet to the Career and Placement Services Office for review and then to be sent to finance department for the incentive payment on a monthly basis.
- By the end of the entire advancement program, the Line Manager should officially notify the Career and Placement Services office and send all required reports.
- Each Trainee should sign a training contract in the Career and Placement Services Office.
- Career and Placement Services Office creates a fingerprint for every trainee.
- Career and Placement Services Office prepares the report of monthly rewards and sends it to the Financial Department for auditing and processing.
- The Career and Placement Services shall issue the Trainee an experience certificate for the official attended advancement program period.

Training Relationship

- Career Advancement opportunity does not guarantee any future employment in AU.
- Trainee Student may be appointed for any portion of the academic year.
- A department may extend the training period by a mutual agreement with the Career and Placement Services Office.
- The trainee must have a valid residency visa as an essential requirement for being considered in the program.

Grievances

Trainee Student and the Line Manager are encouraged to discuss any training obstacles before commencing disciplinary action or a formal grievance. The Career and Placement Services Office staff are always available to assist both students and Line Managers in resolving training-related issues. Should such informal methods of resolution fail, a formal meeting must be conducted by the Career and Placement Services Office Manager with the student to find ways to solve the matter.

General Issues

- Telephones, computer hardware, software, and computer network systems, in addition to any other AU resources present or used at a training site, are for business usage only and should not be used for personal matters.
- All information concerning AU affairs and its stakeholders should remain private and confidential and not be relayed to any external party or used for personal gain.

The Trainee Student should adhere to AU standard code of conduct and dress code applicable to AU employees.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2018	New Policy	Career and Placement Services Manager

F. Learning Resources

جامعة عجمان
AJMAN UNIVERSITY

Library Policy

Policy Owner	Library Manager	Responsible Office	Library
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Mar. 2017
		Next Review Date	Aug. 2020

Purpose and Scope of Document

- The purpose of this document is to define the policies guiding the development and management of the AU's print, digital and other library collections in the context of AU Library overall mission to support the University's learning and research goals. Within this document collection development and collection management are treated as two distinct activities.
- Through collection development, AU Library aims to support the work of Ajman University by continuing to add to its collections and by providing access to information resources held or hosted elsewhere. Through collection management AU Library aims to make its resources available in the most appropriate and cost-effective way.
- The policy applies to all collections managed by AU Library, whether they are held in the Main Library or in the site libraries managed by the Library across the University.
- The section on Collection Development contains statements defining the University's collection development principles, the nature of its collections, funding mechanisms and budgeting priorities, responsibilities and criteria for the selection of material, including deposits, donations and free materials (see Section 2 of the document).
- The section on Collection Management contains policy statements on acquisition and license agreements, resource discovery and access to the material, stock editing, retention and disposal, conservation, preservation and binding (see Section 3 of the document).
- The document also defines AU Library policies aimed at facilitating access for members of the University to collections held in other libraries across UAE (see Section 4 of the document).
- The document is for the benefit of all members of AU, including students, academics and staff, as well as the public at large. It will be available on AU web site under Library at:
- https://www.ajman.ac.ae/en/academics/library.html
- The policy will be reviewed, revised as appropriate and presented to University Administration.

Principles

AU Library' collection development policy consists of the following key principles:

- All information resources purchased from the Information Resource Funds are selected by the Colleges in coordination with the Library working closely with academic colleagues in their Colleges.
- Space utilization in the University Library and the balance of space given over to stock, and to service areas and study facilities will be kept under continuous review.

- Appropriate web-based electronic resources are the preferred medium, where they exist, through which to meet learning, teaching and research needs.
- Collection evaluation, stocktaking, withdrawal and disposal of stock will be carried out on a regular basis in consultation with Colleges.
- Library Services will move towards a zero net growth policy for printed collections whenever possible.
- AU Library will work in close collaboration with other information providers and agencies to provide access to remote collections.
- Location of physical collections will be determined by usage. Highest used material will be housed on open access and less used material stored in closed access.
- Library' collection development policy will meet all relevant statutory requirements such as, for example, the Disability Discrimination Act 1995, the Race Relations (Amendment) Act 2000 and the Special Educational Needs and Disability Act 2001.

Budget

AU Library follows the Association of College and Research Libraries (ACRL) Standards published in June 2004. The Library Manager prepares, justifies and administers the library budget that is appropriate to the library's objectives. The budget is planned to meet the reasonable expectations of library users when balanced against other institutional needs. The library utilizes its financial resources efficiently and effectively. The library Manager has the authority to distribute funds and initiate expenditures within the library budget and in accordance with AU's institutional policy. The budget supports appropriate levels of standing. The Library has a separate identifiable annual budget figures. The budget is now fully assigned to the Library. The budget is allocated to the Library with accountability and responsibility vested in the Library Manager who can administer it more efficiently and thus enrich the library's collection and expand its resources.

The Library is engaged in implementing a plan that will lead to a sound fiscal future. It will show the magnitude of responsive services the Library provide to the AU community in relation to level of funding it receives. The plan will also allocate money for library and staff development, which includes but not limited to workshops, conferences, as well as formal and informal training.

Access

AU Library follows the ACRL Standards in that access to library resources is provided online in a timely and orderly fashion. Library collections and the catalog for accessing them are organized according to standards. A central catalog of library resources provides access for multiple concurrent users and clearly indicates all resources. Hours of physical access to the Library are reasonable and convenient for the two-genders and separate users. The hours are printed in this document (see page 19) and posted on its Web site. Reference and other special assistance are available at times when the Library is open. Onsite access to The Library is provided in a timely and orderly fashion. Non-print resources are accessible anytime anywhere. The Library and the catalog for accessing its resources are organized using the AACR2 and the LCC. Online access to the

Library's OPAC and e-resources is encouraged. Students as well as faculty are trained on how to access these resources from their labs and offices.

AU Library

AU library is housed in the second floor of Student Hub building and is open to the entire university community.

Information Resources

AU Library purchases materials for ownership and availability within the physical facility. Over the past few years, the library has allocated an increasing percentage of its information resources budget to acquire access to materials it does not own through vendors of electronic resources. Access is provided to AU community any time regardless of location. Collection assessment is defined as "an organized process for systematically analyzing and describing a library's collection. In the latest assessment study conducted in 2016, AU library examined major aspects pertinent to the collection and the resources.

- The number of books
- The number of periodicals.
- The new acquisitions rate.
- Cancellation rate.

Electronic Resources

AU Library subscribes to several electronic journals and books through online databases such as LexisNexis, Al-Manhal, EBRARY, East Laws, including EBSCO including e-Book Academic Collection, eBook Collection, ERIC, Dentistry and Oral Sciences Source, Green FILE and Library, Information Science and Technology Abstracts and most recently to the full collection of ProQuest Central and Scopus journals. In addition to a set of journals selected from Wiley Online Journals and Elsevier (Science Direct Online Journals) databases relating to disciplines of pharmacy and dentistry. Library users can access these and other databases on the Web by using their assigned user ID and password. AU Library System is no different from other libraries that are allocating significant portions of their book budgets to acquire electronic resources. These may include full-text databases, numeric databases, network access, electronic journals and books, and multimedia resources. The selection process for these materials takes into account factors such as the size of the user group, the relative importance or uniqueness of the, materials, the ease of use and power of the search and retrieval software.

Facilities

AU library houses print and non-print materials (e-resources) and all the different types of hardware needed for their use. AU Library seating capacity and media housing is sufficient. The internal design of AU libraries is flexible and modular to allow for expansion and rearrangement to accommodate the needs and requirements for collection housing and staff distribution throughout the library. Due to the rapid increase in print and electronic collections, AU Library has stalled compact shelving especially for certain types of

materials like documents and journals. The AU Libraries' facilities are well planned, attractive and functional. They provide secure and adequate space helpful to study and research with suitable environmental conditions for its services, personnel, resources and collections. The library provide well-planned, secure, and sufficient space to meet the immediate and perceived needs of staff and users.

AU Library's Collection

The library has built a balanced collection covering the entire spectrum of the AU teaching and research. It serves as a resource for students, staff, and faculty. The collection consists of books, references, periodicals, in both Arabic and English. The collection consists of resources in education; engineering sciences; humanities; Arabic language; Law; pharmacology; management; dentistry; computer science; English language etc.

- Books are shelved in a classified order using the library of congress scheme.
- Current journals are alphabetically arranged in the display area.
- Reference collection consists of encyclopedias, dictionaries, handbooks, manual, atlases, bibliographies, biographies, and other sources in all disciplines. This collection is maintained in the reference area.

Services

The library staff is available to assist students and faculty or other individuals or groups on using the library and its resources effectively.

Circulation Services

The circulation desk is responsible for all transactions related with borrowing and returning of books and periodicals, placing materials on reserve, recalling borrowed material, assessing fines et. Borrowing stops 30 minutes before closing time. Faculty members borrow 20 books per semester, postgraduate students borrow 15 books per semester; undergraduate students borrow 10 books per three weeks renewable for another three weeks, AU administrative staff borrow 05 books per 3 weeks renewable for another 3 weeks. Renewals can be done over the phone, online or in person.

Reference Services

Staff at the reference desk on the first floor offers assistance and instruction in the use of library's resources. Readers with bibliographic inquiries are advised to consult reference desk staff who are available during the library opening hours. They can contact in person or by calling or e-mailing the library personnel for necessary assistance.

Photocopying

AU libraries provide photocopying services that governed by Intellectual Property Law Regulations for print materials to all library users.

Security System

The library is equipped with a security system. An electronic RFID security system is in use to prevent the loss of library materials. If an item is taken out of the library without being properly circulated, the exit gate barer will lock and an audible alarm will be triggered. In this insistence, the patron is forced to go back to the circulation desk for proper check out.

Collection Development Principles

AU Library' collection development policy is guided by the following principles

- AU Library provides access to information resources that meet the learning, teaching and research needs of the University community on a cost-effective basis and within the resources available, whether by acquiring physical items (books, periodicals, DVDs, etc.) or securing access to licensed electronic material.
- All information resources are purchased from the Information Resource Fuds. The Colleges and AU Library make the selection – selection processes require a high level of collaboration between the Colleges, their Departments and AU Library.
- Information Resource Funds are designed to be responsive to changes in course contents and research directions as well as to the differing costs of resources in various disciplines.
- AU Library is moving towards a zero net growth policy for printed collections i response to recurrent storage space shortages and to the University's e-learning agenda, which requires that more space be allocated to flexible learning spaces rather than storage areas.
- Web-based electronic resources, when available, are the preferred option because (a) they maximize users' access to collections independently of time and location; (b) they make it possible to ease space issues for printed collections while sustaining the same level of collecting; (c) the level of access to electronic resources provided by the library is becoming as important as the size of its physical holdings.
- Unnecessary duplication of resources must be avoided. (Information Resource Funds cannot be used to purchase materials for locations other than AU Library).
- Collection evaluation, stocktaking and weeding exercises are carried out in a regular basis to ensure that AU Library continues to meet the evolving learning, teaching and research requirements of the Colleges.
- AU Library works in close collaboration with other information providers and agencies to enhance access to remote collections, in particular, via inter-library loan and document delivery services, reciprocal access schemes and collaboratively negotiated license agreements.
- AU Library is committed to intellectual freedom and will not exclude or withdraw from availability any material, as long as it is legal, solely on the grounds of an author's race, nationality, religion, gender, sexual orientation or opinions, nor because of partisan or doctrinal disapproval.

- AU Library collection development policy will meet all relevant statutory requirements such as, for example, the Disability Discrimination Act 1995, the Race Relations (Amendment) Act 2000 and the Special Educational Needs and Disability Act 2001.

Collections and Formats

The collections include both primary and secondary sources of different types (books, periodicals, official publications, pamphlets, theses, datasets, works of art etc.) and in a variety of format (print, digital, computer software, microforms, audio-visual etc.).

- Digital resources (born-digital or digitized) include the following:
  - Subscription-based resources (e.g. electronic journals) and purchased items (e.g. electronic books, CD-ROMs)
  - Material locally created and deposited in the University's digital institutional repositories: e.g. e-prints (research papers etc.), e-theses, past exam papers and e-learning materials;
  - Material freely accessible on the Web selected for inclusion in the University's e-Library;
- Physical collections are currently located in the following sites: Library (1) and Library (2).
- Some material is relegated to store. Criteria for relegation to store are defined in section 3.3 of this document.

Funding and Budgeting Priorities

Information resource funds are now regarded in the University budget model as an institutional budget. They are not therefore part of a college budget and AU Library has been assigned the responsibility of managing them. However, this cannot be achieved effectively in terms of meeting learning, teaching and research needs without working closely with academic colleagues in Colleges and their Departments.

Allocations:

- Allocations have been worked out for each Department and college based on the normal percentage increase for journal expenditure and one year average spend -including spending on books.
- Although allocations have been made for journals, this funding is ring fenced and thus subject advisors will be working with academic colleagues to select and recommend for purchase books.
- The allocations can be used to purchase books, journal subscriptions and Inter Library Loans.
- New journal subscriptions - any requests for new journal subscriptions should be considered on an annual basis in the summer ready for the next year's subscription although exceptions can be made if the situation demands.

College budgets:

- Colleges are encouraged to allocate additional funds. Commitments vary from one College to another depending on the perceived additional need by the College and its ability to afford the extra resources required.

Authorization for recommendation purchase:

- The Library Representative role is still envisaged to be one of coordinating the recommendation of items for purchase however in the new model subject advisers will have to make the final decision as to whether there is sufficient funding available to actually purchase those recommendations.
- We would expect the Library Representative in the Colleges to be empowered to make recommendations for both books and journal subscriptions.
- Spending patterns must reflect the University's commitment to ensuring high-quality information provision for both learning and teaching (at undergraduate and postgraduate levels) and research. The balance of expenditure between course and research material will however vary between Colleges, as will the balance of expenditure between books and periodicals. It is recommended, based on benchmarking with comparable research-led institutions, that Information Resource Funds be roughly split between books and periodicals.
- While AU Library does not have sufficient funds to provide copies of textbooks or other course-related items for AU students whenever they want, it will consider requests for multiple copies of items to be included in reading lists and made available on Short and Week Loan. Criteria to inform the number of copies to be purchased include the following:
    - Number of students on the course;
    - Period of time over which the item is required to be read;
    - Prominence of the item in relation to others recommended;
    - Possibility of using shorter loan periods to accelerate the circulation of the item.
- It is recommended that no more than four copies of an individual title be purchased unless the College can demonstrate that there are special circumstances justifying the purchase of a greater number of copies.

Spending on research material is governed by a number of principles:

- Only two copies of any single item are bought (unless the item is also intended to be recommended to students as course-related material).
- Periodical subscriptions and the move from print to electronic format are reviewed annually.
- In the case of items likely to be consulted only once or twice or for only a short period of time, it is recommended that consideration be given to alternatives to purchase (e.g. inter-library loan and document delivery or physical access to other collections in the region or across UAE).
- Purchases of resources that are relevant to several Colleges may either be shared between more than one Information Resource Funds or supported from Colleges Funds.
- Purchases in fields in which no research is undertaken or planned will not be approved.
- Colleges, which plan to embark upon new areas of research, are strongly recommended to cost their new information provision and support requirements in close collaboration with the Library.

Selection responsibilities and criteria

- Final decisions on the purchase and cancellation of all information materials rest with the Manager of AU Library. However, the selection of material relies on a close and dynamic partnership between the Colleges and Academic Support Teams.
- College Library Representatives, Library Committees or Subject Advisors are responsible for selecting resources purchased from the Information Resource Funds. Only recurrent expenditure, such as, for example, journal subscriptions, must be authorized by the Deans of Colleges or Heads of Departments except where a Library Representative has been delegated to do so.
- Responsibility for purchases from the Colleges Funds lies with the designated staff from AU Library' Academic Support Teams. Suggestions from academic colleagues and students are welcome. The University's Procurement Office must be consulted before any order can be placed.
- Selection of material is expected to be made in the light of the collection development principles and funding arrangements described above and according to a number of selection criteria, including:
    - *Suitability of content, intellectual level and quality of the scholarship:* the materials selected must be relevant to the teaching and research being currently carried out at the University;
    - *Currency of information:* this is especially important in disciplines where information dates rapidly;
    - *Suitability of format:* library materials may be acquired in a wide variety of formats; when more than one format is available for the same material (e.g. print and web access, microform or CD-ROM), criteria for choosing which to acquire include:
        - Ease of access and use (including quality of user interface, when relevant, for all users, including users with disabilities);
        - Licensing conditions and authentication method for e-resources;
        - Storage space required;
        - Comparative costs;
        - Ease of reproduction.
- AU Library is moving from print to electronic formats wherever possible. As is the case for all available formats, electronic resources will be preferred when there is a significant gain in terms of accessibility and ease of use in relation to the costs involved. However, there are selection criteria and procedures that are specific to electronic resources, namely:
- Comparing contents to assess whether the electronic version is at least as complete as the print or has enhancements to the print (e.g. hyperlinks to related references, datasets).
- Checking license and copyright conditions, including archiving arrangements, to establish, in particular, whether or not access to back-files will be removed if the subscription is cancelled.
- Examining preservation issues and assessing whether the back-files will be migrated, as and when necessary, to ensure that they continue to be accessible with newer technology.
- Assessing technical and staff-time implications in terms of network infrastructure, workstation requirements and the extent of any IT support and development required.

- It is recommended that evaluation of electronic resources be carried out, whenever possible, during trial access periods.

Deposits

- University regulations stipulate that one bound copy of all AU postgraduate dissertations and theses be deposited in AU Library. It is expected that an increasing number of dissertations and theses will be made available electronically via the University's digital repository.
- It is expected that an increasing number of home-grown digital material, including electronic copies of academic papers produced by staff at AU, will populate the Institutional Repository.

Donations and free materials

- Gifts, bequests and deposits are accepted on the understanding that:
  - Items that do not fit the collection development criteria described in this document will be returned to the donor, if requested, or, when appropriate, disposed of by gift, sale or discard;
  - AU Library retains the right to organize and locate donations according to its own judgement;
- Gifts are acknowledged and donation bookplates may be inserted in items added to stock, if requested.

Collection Management

Acquisitions, procurements and license agreements

- The purchase of information resources in all formats, including access to electronic resources, is managed centrally by AU Library whether the resources are purchased from the Information Resource Funds or from the Colleges Funds.
- All acquisition procedures are automated and carried out on a best value basis within the resources available.
- AU Library shares AU commitment in utilizing e-commerce procedures in order to optimize the efficiency of procurement procedures already in place.
- The selection of suppliers of information resource materials is carried out through the University's purchasing system, regulations and procedures.
- AU Library seeks to take advantage – whenever it is beneficial to the University – of the publishers' deals and national site license agreements that are negotiated by the Joint UAE Libraries Associations on behalf of UAE Libraries.
- License agreements are checked as part of the procurement process, to ensure we can meet all the obligations required of us by the providers, and appropriate levels of access can be made available for users.

Resource discovery and access

- The cataloguing of all information resources acquired is managed centrally by AU Library.
- The catalogue is available to all on a 24 x 7 basis via the University's web site and student portals.
- Remote access to licensed electronic resources is free for all members of the University and is obtained through a system of electronic authentication that is centrally operated by AU IT Services.
- Physical collections, held on open access shelves, can be accessed free by all members of the University from all AU libraries during opening hours. Some material is available for reference only, but most of it can be borrowed on a Short, Week or Long Loan basis.
- Library guides, information skills training, and other types of support are provided by AU Library Public Services to enable users to maximize their use of the resources and services available.
- Access to the physical collections by undergraduates, postgraduates and academic staff who are not members of AU is made possible and regulated by a number of reciprocal access and borrowing schemes to which AU has signed up.

Retention, cancellation and disposal

- Acute shelving and storage space shortages – AU libraries and stores are currently full – combined with the increasing availability of electronic resources and the emphasis placed by universities on the creation of more learning spaces while retaining areas for research work, have led university libraries to rethink their policies relating to the retention of physical collections. The challenge for university research libraries is to contain or even reduce the need for additional shelving and storage space while retaining collecting levels that are appropriate for the support of high-quality teaching and research. This can be achieved by adopting a two-pronged approach:
    - Purchasing materials in electronic rather than physical formats wherever possible.
    - Discarding – rather than relegating to store – all print and other physical materials that have been replaced by reliably archived electronic resources and all print and other physical materials which no longer meet the teaching and research needs of the University.
- Consultation with academic colleagues on items identified for relegation or disposal will be handled by the Library Manager. Academic staff will be invited to examine lists of material identified for cancellation, relegation or disposal, via the Library services web site, and request re-designation of items that are of concern to them.
- Criteria for selecting items for withdrawal include the following:
    - Books, print journals and other physical items that are no longer relevant to the current and future teaching and research needs of the University (e.g. in subjects that have been dropped by the University), unless it can be demonstrated that they are rare or unique items that are not available in legal deposit libraries in UAE or abroad.
    - Print version of high-use electronic journals where access to archives is secure – either via perpetual access arrangements with publishers or other secure archive services.
    - Print version of low-use journals where access to archives may not be secure, but which are available through the document delivery service.

- Material, which is held in another preferred format.
- Abstracts and indexing print runs available electronically and where these are available in perpetuity.
- All duplicates except duplicates of titles listed in current reading lists.
- Single and duplicate copies of old and superseded texts, including textbooks and reference sources, unless it can be demonstrated that they have some historical value.
- Low-use items in poor physical condition that are available in other libraries.
- Non-print resources such as 35mm slides and videos will be considered for withdrawal where the library is no longer able to provide or support the facilities for accessing it. Where possible, superseded media will be replace by more modern formats.
- Stock may be disposed of by transfer to another library within the context of collaborative collection management agreements.
- Stock may also be disposed of by sale, gift or discard.
- Material being considered for withdrawal will be assessed by Specialized Librarians as to its long term historical value before any other decision is made about its future. Criteria for selection for permanent retention are based upon subject area, rarity of copy and relationship to current Collections development areas.

- Criteria for selecting items for relegation to store include the following:
  - Print version of high-use electronic journals where access to archives is not secure.
  - Low-use books and other physical items – except low-use journals that can be accessed via document delivery service or consulted in other libraries – for which there is no shelving space available in the open-access areas of AU libraries.
  - Material that is not part of AU Library Collections but needs to be kept in closed access for security or preservation purposes (e.g. AU theses; old pamphlets).
  - Single copies of old and superseded texts, including textbooks and reference sources, when it can be demonstrated that they have some historical value.
  - Books, print journals and other physical items that are no longer relevant to the current and future teaching and research needs of the University (e.g. in subjects that have been dropped by the University), when it can be demonstrated that they are rare or unique items, which are not available in legal deposit libraries in UAE or abroad.

- AU Library aims to comply with recognized professional conservation standards for all physical collections. In the case of digital preservation – i.e. the storage, maintenance and accessibility of digital material over the long-term – it will seek to conform to international standards as they are agreed by the information community and to devise appropriate techniques in collaboration with other information providers in the light of the latest developments taking place in UAE and worldwide.
- Binding will take place only for high-use material, in particular journals, when no electronic version is available and for low-use material that is rare or unique. High-use journals relegated to store

because the electronic archives are not secure will not be bound. A detailed binding policy is in the process of being developed.

- Digitization will also be used, as and when appropriate, to resolve conservation and preservation issues, either as a response to specific events or within the context of a broader conservation strategy.
- High-use items missing from stock or physically unsuitable for further use will be replaced.
- AU Library is acquiring a security system in place to protect stock from theft and a disaster plan in case of major emergencies, for instance, resulting from fire or flood.

Access to remote collections

Document supply and inter-library loans

- Research material unlikely to be used more than once or twice will not be purchased but obtained through the Document Supply and Inter-Library Loan service, which will be available to all members of the University.
- Funding for document supply and inter-library loan can be from two sources, Colleges being authorized to purchase vouchers using either their Information Resource Funds or their own College Funds. Authorization of document supply and inter-library loan applications is the responsibility of each College or Department for its own staff and students. Individuals can pay the cost of vouchers themselves.
- For items, which are not in stock a license, may be agreed with the publisher to make a document available in electronic form via the University's network for a specified timescale. The College concerned will meet cost for this.

Physical access to other libraries

- Access to physical collections held in other institutions is made possible and regulated by a number of reciprocal access and borrowing schemes to which AU has signed up.

AU Library Working Hours

Day	Library 1 (Men)		Library 2 (Women)	
Time	From	To	From	To.
Sunday	07:30	20:00	07:30	20:00
Monday	07:30	20:00	07:30	20:00
Tuesday	07:30	20:00	07:30	20:00
Wednesday	07:30	20:00	07:30	20:00
Thursday	07:30	20:00	07:30	20:00

During exams period and upon users request AU libraries are open on weekends according to the following timetable:

Day	Library 1 (Men)		Library 2 (Women)	
Time	From	To	From	To.
Friday	15:00	21:00	15:00	21:00
Saturday	09:00	15:00	09:00	15:00

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Council of Research, Information and Training
V 2.0	19/03/2017	New Policy - Total modification of policy structure and content	Library Manager

Information Technology Policy

Policy Owner	IT Manager	Responsible Office	Office of IT
Approved By	Chief Operating Officer	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Office of IT

Ajman University (AU) provide computing, networking, information and telecommunication resources to the University community to support teaching and research, and efficient administrative processes. Access to Information Technology resources is granted to members of the University community who are enrolled students, employees, or academic members. The authorized Office for running these resources is the I.T:

Helpdesk Service:

Helpdesk is responsible of serving as first point of contact for users' technical assistance over the phone or email, log all the requests/complaints, categorize them, and then assign the technician/engineer for the advanced/unresolved cases.

Support Unit

Support unit consists of two teams below; their daily operational task is to resolve technical problems reported by users through the Help Desk.

a) **Technical Support team: Responsible of installing, configuring, and troubleshooting new end user devices such as, but not limited to, PC and printers.**

b) **AV/IT technician Team: Responsible of installing, configuring, and troubleshooting AV equipment such as, but not limited to, data show, smart screens, CCTV system, Queue system, and Access Door system.**

Programming and Development Unit

This unit is responsible of creating and maintaining database applications in support of different AU services, and attending to the needs and requirements of the users. Examples of these services include Office of Admissions and Registration, and databases developed for the Office of Finance.

Systems and Network Administration Unit

The main responsibilities of this unit consists of maintaining the following:

- **IT Network/Telecomm infrastructure**: Configuring the network services, and perform day-to-day management of the network, network interfaces, and network services. This includes but not

limited to LAN connection between campus's buildings, if available, and Internet Connections, with Internet Service Provider (ISP) such as Leased line and ADSL connections.

- **IT Systems infrastructure**: Installing, configuring, troubleshooting, and managing systems' infrastructure, physical, virtual environment, and Cloud environment, if available. This includes managing the OS systems such as, but not limited to, Win Servers, Linux, databases.
- **IT Security**: Installing, configuring, troubleshooting, and managing systems' security such as, but not limited to, the antivirus/Antimalware systems, Network Firewall, Application Firewall, and systems' patching and updates.

Another task of this unit is to solve problems that might arise while using the network and systems' services.

Teaching and Learning Unit

The primary role is to manage and facilitate the implementation of institutional strategy for academic and administrative staff across the University.

The Teaching and Learning section at the Office of IT is working closely with the Vice Chancellor of Academic Affairs (Teaching, Learning and Students), and with Faculties, and other administrative offices.

The main responsibility is to provide support and guidance on how to use AU Applications/systems, including the E-Learning Management System, to AU community, staff and students.

The objectives of the teaching and learning team are the following:

- The technology used in the classrooms and computer labs.
- Tools to enhance the communication between the faculty and students.
- E-Learning Management System, including training to faculty members on how to use it.
- E-Assessment which includes the following assessment activates each semester:
  - Advisor
  - Course
  - University's service.
  - And;
  - IT Orientation documents for AU's members, students and staff, on all AU's services and Applications, and how to access/use them.

This section is responsible of the following:

- Create, update and maintain the IT orientation manuals for AU staff and students.
- Give individual and group training sessions.
- Organize training session with the Office of HR for faculty members on the newly introduced technology.

Information Technology Services

a. IT Account Services
b. Helpdesk and Support
c. Campus LAN/WAN Network.
d. Video Conferencing.
e. Software and Applications.
f. Internet
g. Teaching and Learning.
h. IT Security, Compliance and Governance.

Terms and Conditions of using I.T. services

- Office of I.T considers all temporary and permanent connections via the University network, to be subject to the provisions of this policy.
- Computing resources not owned or approved by AU may not be connected to the University's network.
- Office I.T. currently maintains a variety of UNIX, Win 2012 servers and above. MS Windows systems exist to facilitate software distribution and printing for office and student lab environments.
- Office of I.T. has the right to monitor the traffic of all transmissions on networks maintained by the offices at all times.
- Operating systems currently supported (for the desktop) include Windows 8 and Windows 10. There are special requirements for Unix workstations in the School of Engineering. Upgrading will take place in a controlled manner.
- Software and hardware to be installed should be requested by the Dean or Manager/Director of Office and it may not be installed or connected to University systems without the approval of the IT Committee. This includes the data and telephone networks.
- All University affiliates (faculty, staff and students) are permitted to use the University network and selected computing resources at all times while the network is available.
- IDF rooms are under the authority and responsibility of the Office of IT. Everyone within the AU Network community who uses University computing and communications facilities has the responsibility to use them in an ethical, professional and legal manner.
- Violations of information technology Policies and Procedures typically result in University disciplinary action, which may have serious consequences, and in some cases, may result in a legal action.
- Copying software is an act of copyright infringement, and is subject to civil and criminal penalties. It is considered Software piracy, and it is illegal whether you use the copied software yourself, give it away, or sell it. Aiding piracy by providing unauthorized access to software or to serial numbers used to register software can be illegal

Policies and Procedures for using I.T. services

The policies and procedures of the Office of IT have been developed and implemented with the main aim of providing IT resources and services to all its users in an efficient and effective manner. These policies and procedures have been classified into the following categories:

a. IT Account Services

The Office of IT is providing number of services mentioned below that are personalized to AU staff and students. Accounts are intended to be personal. The individual to whom the account has been created is responsible for ensuring that his/her username and password remain confidential. No one is allowed to use another person's username and password.

- AU User Account (Staff members)

AU full time members should have Passwords/User Account. It will be created automatically after adding the employee to the HR system. The employee should receive a letter and email with his/her Password/User Account details and how to use it. The created password will be used at the first login only, and then the user should reset it.

Part-timers may request Password/User Account for each service independently. It will be created temporarily for a period of one semester, and then it will be disabled automatically. The user may call Help Desk to reactivate it. The Help Desk should contact the HR first to confirm that the user is still working for AU. The staff members may contact the Help Desk to reset the password in case of losing it.

The cancelation process for the fulltime employees will be done automatically when the employee completed the clearance process and his/her status is changed to inactive on the HR System. However, the Office of IT may disable the access to AU's services before completing the clearance process without notice under the below conditions, when there is a risk of sabotage the data, corrupting, or abusing any of the systems/services:

- The employee has Admin privilege or power user on any of AU systems.
- The employee has been dismissed for ethical reasons.

The line manager requested to disable the User Account of resigned/dismissed employee.

AU user may use the AU User Account to access the below services:

- AU LAN/WAN Network
- Email
- SIS System
- Dynamic AX System
- E-Learning Management System (Moodle).
- LaserFiche Archiving System
- File Sharing.

AU Student User Account

All freshmen students should receive by email an identification letter with their Password/User Account details and how to use it after the drop/add period of each semester.

The student may use the user account to access all the below AU web services:

- Computer labs.
- Wi-Fi
- Email
- E-Learning Management System (Moodle)
- Online Registration System (ORS).

b. Helpdesk and Support

The user should contact the helpdesk to log a request either over the phone or by email, then accordingly, a work order should be queued in the tracking system, and the user request will be processed within a predefined time assigned by the tracking system automatically according to the request priority. The request will be escalated management level in case it is not resolved within the assigned time.

The Help Desk has three levels to handle the user requests.

- *First Level:*

  Provides resolutions that often belong to a knowledge base accumulated from previous experiences.

- *Second Level:*

  In case the request has not been completed, it will be escalated to the second, higher, level that has the necessary resources to handle more difficult specialized requests.

- *Third Level:*

  AU also have a third, higher, level, line of support which often deals with software specific needs, such as updates and bug-fixes that affect the client directly.

The assigned technician should log the case details, and how he/she has resolved it; and then close the order.

The tracking system will send to the user an email automatically upon closing the order informing them that the request has been resolved and the order is closed.

Please see the below documents for more details on the Helpdesk (Service Desk) processes:

- How the Helpdesk (Service Desk) manage the Incidents: Please see the Incident Management Policies and Procedures
- How the Helpdesk (Service Desk) manage the problems: Please see the Problem Management Policies and Procedures
- How the Helpdesk (Service Desk) handle the Change request: Please see the Change Management Policies and Procedures.

c. Campus LAN/WAN Network

The IT Network policy and procedures have been developed to provide students, faculty, and staff access to a reliable, robust, and integrated wireless network and to enhance security of the campus wireless network to the maximum extent possible.

- All campus users are subject to the following wireless guidelines as well as existing guidelines for the wired network. The wireless network is an extension of the existing network and therefore falls under the control and supervision of the Office of IT. Due to the complex nature of wireless technologies, it is imperative that users of the wireless network follow the guidelines and policies outlined in the following.
- All campus network users must register with the Office of IT to obtain a user account and a password. The purpose of user accounts and passwords is for authentication of users and tracking users and devices, not to limit access. An employee or Faculty/Office/Unit must register guests and part timers. Guest/ part timer user account shall be issued for a limited period.
- Wireless networks are NOT a replacement for wired networks. The purpose of the wireless network is to extend the wired network by providing Web browsing and e-mail access in areas of transient use such as common areas. Wireless networks have a much smaller bandwidth than wired networks; therefore, applications that require a large bandwidth may overload the wireless network. Wireless networks work best when the number of users is limited - the more users, the smaller the share of the bandwidth available to each.
- Only wireless hubs installed and managed by IT will be allowed for use on the AU wireless network. Students and faculty are not permitted to install their own wireless networking equipment. Offices wishing to implement a wireless network must notify the Office of IT. The Office of IT will survey the site and determine the feasibility of a wireless connection. Only switches pre-evaluated and installed by the Office of IT will be used.
- Wireless should only be used for mobile computing. Any time wired access is available; it should be used for increased performance.
- Any effort to circumvent the security systems designed to prevent unauthorized access to any AT wireless network may result in the suspension of all access to AU network and an appearance before the appropriate disciplinary board.

d. <u>The Internet</u>

Internet is a vast, global network linking computers at universities, high schools, science labs, and many other sites. Using Internet, one can communicate with people all over the world through a number of discussion forums, as well as through electronic mail. In addition, educationally valuable files are available for downloading on Internet. Because of its enormous size, Internet's potential is boundless. However, with such great potential for education also comes some potential for abuse. It is the purpose of the Office of IT to provide guidelines as well as the contract for use of the AU Internet connection. This is to ensure that all who use the AU Internet connection, both students and faculty, use this valuable resource in an appropriate manner.

The most important prerequisite for someone to receive an account on the AU Internet connection is that he/she take full responsibility for his/her own actions. AU Office of IT, along with the other organizations

sponsoring this Internet linkup, will NOT be liable for the actions of anyone connecting to the Internet through this hookup. All users shall assume full liability — legal, financial, or otherwise — for their actions.

Individuals who use the computer facilities of the AU Internet connection must use these resources in an appropriate manner. Misuse of computer facilities is a violation of the AU IT "Acceptable Use Policies" and may also be a violation of the law if data of other computer users are disturbed or the privacy rights of individuals are violated. In addition, AU Office of IT takes no responsibility for any information or materials transferred through the AU Internet connection.

All users of AU Internet connection are therefore required to comply with the following:

- No obscene or offensive material shall be entered into or sent through the AU Internet connection, web sites, whose access is prohibited by ETISALAT in UAE, are also prohibited in the Internet labs.
- Users shall not deliberately attempt to degrade system performance or capability.
- Loopholes in computer systems, knowledge, or special passwords shall not be used to damage a system or file, or to change or remove information in a system or file without authorization.
- Reconfiguring the hardware arrangement by unplugging cables and moving hardware from one workstation to another is absolutely prohibited.
- Online chatting, food, drinks, and smoking is forbidden in the computer lab.
- Only one person at a time can use the lab computer, and No one has the right to reserve a PC for anyone.
- The Student may use the printer in the computer lab, if available, and print up to 20 pages per day any material related to his/her subject of study, under the supervision of a lab supervisor.
- Users have the right to complain about the Internet lab supervisor if you see any abuse of the above rules, complaints are to be submitted to the network manager, the help desk phone 06 - 7056500.

e. Teaching and Learning

The University aims to provide higher education of a quality and kind that will enhance the capabilities, potential and intellectual independence of its students, on a life-long basis. The University's continued commitment to respect, preserve and enhance knowledge, skills and competencies, through a student centered teaching and learning approach demonstrated through integrity and quality in the delivery of quality learning content, an applied research supervision and assessment of student learning outcomes in both the undergraduate and graduate programs.

The University has a number of policies and procedures that govern teaching and learning practice:

- All users of the learning and teaching tools and resources must adhere to the University's Appropriate Use of Campus LAN/WAN Network policy, and IT Security, Governance and Compliances Policies mentioned in this document.
- Delivery and access to copyright materials of teaching and learning, including the Learning Management System (Moodle) and orientation documents, must adhere to

guidelines in compliance with Copyright Law in effect in the United Arab Emirates. In addition, all other copyright use must comply with University Policy.

- Ajman University is not responsible for the misuse, accuracy, integrity, and/or legality of the content uploaded to the LMS by its students, staff, or faculty. The University is not responsible for content linked to LMS to external web sites.
- No users of the LMS must use the system for purposes other than teaching learning activities approved by the official university bodies. Only sponsored agencies connected to the University including accrediting agency representatives, presenters, and course observers may be granted access to Moodle with approval from the appropriate channels including academic Chairs and Deans or other University Executives including the Vice Chancellor for Academic Affairs or the Chancellor. The Information Technology Office staff should notify the course owner when any external agent is added to the system.
- Access to the LMS is granted to currently enrolled students, instructors and academic administrators on record for published term courses. Course rosters are generated via official enrollments in Student Information System (SIS). Course owners and administrators should not grant course access to students not listed in the official roster using student email addresses.
- Faculty and staff hosting a course on Moodle shall comply with all the UAE laws and all institutional rules, policies, and procedures in force.
- Illegal content or content that is in violation of the University's policies or contractual agreements shall be removed from a course account, when requested by the instructor of record or other appropriate academic administrator whose duty is to monitor the content continuously.

User Management and Access to LMS

- All users of LMS must access the system through a designated account, which is provided by the AU IT Office, and is the same as the user's University User Account (network username and password).
- The instructor(s) of record (IOR) and students enrolled in a course as listed in SIS will have access to the course site in the LMS.
- Official student enrollments will be managed from SIS including adding new students, student withdrawals, and drops.
- For purposes of program curriculum management and continuous quality control, College Dean and Head of Department may request course access from AU IT Office and will be granted access to courses to review and perform assessment activity including, but not limited to, viewing learning outcomes, course analytics, and usage.
- Faculty may not create courses/sections on behalf of external users and former students and extend system access to said users for the purposes of pursuing activity unrelated to official University business. Any such accounts discovered will be removed by the IT staff.
- Access to the LMS may be disabled or suspended for users who display inappropriate behavior per the University's Acceptable Use Policy and other guiding policies that define

appropriate conduct for University employees and students. Students who misuse the LMS will be referred to the Student Affairs Disciplinary Committee.

f. IT Security, Compliance and Governance

Security:

To increase the level of security at AU Account (Network and email) and AU System, and minimize the level of attacks of viruses, worms, Trojans and hackers.

Virus Protection:

Viruses and other malware are a constant threat to all computer users. They can be picked up in many different ways. Therefore, the Office of IT applied the below group policy on all AU users and PCs:

- Installed Antivirus and antimalware in all AU's PCs.
- Set policy to push the updates in regular bases.
- Limited the Admin privilege to the Technical team who are responsible of installing software and applications.

Password Policy:

The Office of IT have implemented the following security measures on passwords:

- **Applied Settings for Network Password Policy:**
  - Maximum Password Age is 60 days (meaning that user have to change the domain password every 60 days)
  - Minimum Password Length is 8 characters
- **Applied Password Policy on Desktop:**

Enable Password Screen saver option after 10 minutes of idle session. This option would force the user if he/she did not use the computer for 10 minutes to re-enter the password. In case another user comes to use the computer, he/she should restart the computer and login with his/her network account.

- **Account lockout policy:**

Account lockout policy disables a user's account if an incorrect password is entered for a particular number of times over a specified period. These policy settings help us to prevent attackers from guessing users' passwords, and they decrease the likelihood of successful attacks on our network.

- Account Lockout Duration: 60 minutes
- Account Lockout Threshold: 50 invalid logon attempts
- Reset account lockout counter after: 30 Minutes.

Compliance and Governance:

The Office of Information Technology (IT) is neither an investigative nor a disciplinary entity in its primary responsibilities. However, in cases where University resources and privileges are abused or otherwise threatened, the office may be asked to take appropriate steps. Immediate revocation of

access and subsequent prosecution by the authorities, for example, might be directed. Such revocation may be appealed to the IT committee.

Another example would be to both discipline and hold accountable an individual who damages IT resources. Improper access or modification of AU information in a computer system may also bring a stiff penalty.

Prohibited acts include but are not limited to the following:

- Threats to the security of information and the integrity of networks at AU and elsewhere include viruses, hackers, and unauthorized persons. Consequently, it is the responsibility of the user not to disclose his/her password to any person.
- It is prohibited to connect any personal computer, server, printer, firewall, network router, network switch, or other electronic device to the AU data network without the express approval of the IT and Networks Director.
- When any use of information technology at the University presents an imminent threat to other users or to the University's technology infrastructure, network and systems administrators may take whatever steps are necessary to isolate the threat, without notice if need be.
- The Office of IT does everything in its power to prevent viruses from entering the AU network. Measures taken include virus scanners on the desktop computers, file servers, and email servers. However, users still need to be vigilant about protecting themselves from viruses, such as downloading suspicious files and opening suspicious attachments.
- Any attack or bid to attack the AU systems or networks will result in prosecution of the attacker according to the federal laws of the UAE.
- Access to IDF rooms and server rooms is limited to IT staff only.
- Intentional denial of computing service to other users.
- Exploitation of insecure accounts or resources.
- Attempting to guess, crack or otherwise determine another user's password.
- Interception of network transmissions with hardware or software "sniffers".
- Forging of electronic mail or electronic news or otherwise misrepresent themselves or other individuals in any electronic communication.
- System administrators are not to use their access to examine the private information of other users except in the course of resolving problems and where access to such information is necessary. In these cases, IT staff are required to seek permission and oversight.
- IT staff may not transfer resources (hardware, software, documentation, etc.) from designated locations without the explicit permission of their supervisor.
- AU employees or students may not load any software onto their workstations or servers, which has not been purchased or is not free. Software identified as "shareware" should be examined carefully to ensure there is compliance with any licensing

requirements. Under no circumstances will software binaries from unknown or illegal sources be placed on workstations or servers.

- Under no circumstances will AU employees or students share account passwords, key combinations, alarm codes, keys, access cards or any other access control mechanism for any University resource or facility with any individual in a manner inconsistent with the policies established by their supervisor. In the absence of such policies, employees must have the explicit permission of their supervisor to share any access mechanism to any office resource.
- IT management reserves the right to audit University owned workstations and servers without warning for verifying software-licensing compliance.
- AU employees or students may not load or install any software that may abuse the bandwidth of AU Network/Internet.
- All computer and network access is denied unless expressly granted. Access is generally granted by the Office of IT in the form of computer and network accounts to registered students, faculty, staff, and others as appropriate for such purposes as research, education (including self-study), or University administration. University accounts are protected by passwords.
- Accounts are assigned to individuals and are not to be shared unless specifically authorized. You, the user, are solely responsible for all functions performed from accounts assigned to you. Anything done through your account may be recorded. It is a violation of University Policy to allow others to use your account. It is a violation to use another person's account, with or without that person's permission.
- The password, used with the account, is the equivalent of an electronic signature for the user. The use of User Account and password authenticates the identity and gives an on-line affirmation the force of a legal document. The user should guard the password and account as he/she would his/her check book and written signature. It is a violation of this Policy to divulge your password to anyone. It is a violation to attempt to learn the password

  to another person’s account, whether the attempt is successful or not.
- The User may not attempt to disguise his/her identity, the identity of your account or the machine that you are using. The user may not attempt to impersonate another person or organization.
- The User may not attempt to monitor other users' data communications; he/she may not infringe the privacy of others' computer files; the user may not read, copy, change, or delete another user's computer files or software without the prior express permission of the owner.
- The User may not engage in actions that interfere with the use by others of any computers and networks. Such conduct includes but is not limited to: the placing of unlawful information on the system, the transmitting of data or programs likely to result in the loss of the recipient's work or system downtime, the sending of "chain letters" or "broadcast" messages to lists or individuals, any other use that causes congestion of the networks or interferes with the work of others.

- The User may not engage in actions that threaten or intentionally offend others, such as the use of abusive or obscene language in either public or private messages, or the conveying of threats to individuals or institutions by way of AU computers and/or networks.
- The User may not attempt to bypass computer or network security mechanisms without the prior express permission of the owner of that computer or network system. Possession of tools that bypass security or probe security, or of files that may be used as input or output for such tools, shall be considered as the equivalent to such an attempt.
- The User may not alter, copy or translate software licensed to another party. The user may not make available copyrighted materials without the express permission of the copyright holder. Respect for intellectual labor is vital to the academic discourse. Violations of authorial integrity, plagiarism, invasion of privacy, unauthorized access, and trade secret and copyright violations may be grounds for university sanctions as well as legal prosecution.
- Anyone who does not abide by the rules above will be referred to the university Law Affairs.

To summarize, access to University computing and communications equipment and facilities may be revoked for reasons including, but not limited to:

- Attacking the security of the system;
- Modifying or divulging private information such as file or mail contents of other users without their consent;
- Misusing or abusing Internet/Network by using Internet tools or software that may affect the performance of the Internet/Network;
- Modifying or destroying University data;
- Using the networks/Internet in a manner contrary to the established guidelines;
- Users who are using a different domain other than AU domain.
- Software Piracy

Finally, users may not read sensitive information simply because it is accessible to them - because of accidental exposure and/or through the malice of others who have broken into a system or are misusing their access privileges. When sensitive information is recognized as such, it should not be examined further, but reported to the keeper of the materials, if known, or reported to management, if not.

Use of Technology Resources

The Office of IT is responsible of providing and maintaining the IT technologies used in AU's teaching facilities, Classrooms and Computer labs. Therefore, the Office of IT set the following policy:

- The university ID is to be shown to the computer lab supervisor and the supervisor has the right to check the ID at any time.

- University computer systems shall not be used for commercial purposes without written authorization of the university's management.
- Files, sign-on, user names, passwords, and computer output belonging to an individual or the institution are considered personal property. Users shall not examine, change, or use another person's files, output, or user names for which they do not have explicit authorization. The same restriction applies to institutional files.
- Students should notify the supervisor if the PC is slow or not working properly; consequently supervisor to notify help desk if he/she is unable to resolve the issue.
- Users cannot install any programs from the Internet.
- The lab supervisor is the person in charge of enforcing the Internet lab policy.
- All users must log off when their time is over and/or they have to leave the lab.
- All PCs are managed by IT, including the security settings and Virus Protection policy.
- Any software need to be installed on computer labs should be reported to Office of IT. The installation shall be processed as the per the request process of the Helpdesk and Support services.
- Anyone who does not abide by the rules above will be referred to the student's affairs.

Maintenance and Replacement of Computing and Network Resources

The policies and procedures of the Office of IT for periodic maintenance, updating, and replacement of computing and network resources are as given below:

Periodic Maintenance and Updating:

- The Office of IT is responsible for providing and maintaining (or arranging maintenance for) all computing and network resources including faculty and staff PCs. It is also responsible for maintaining and upgrading of IT resources, hardware and software, for all computing laboratories in the University.
- In addition to periodic maintenance of computing and network resources provided by the Office of IT, the faculty and staff can contact the Help Desk of Office of IT for any needed maintenance. The Office of IT shall promptly respond to the request and carry out the required maintenance job.
- Within its life cycle, as defined in the following section, computers should require maximum of three major software upgrades (operating system or office suite) and should generally not require a hardware upgrade. However, if the user's requirements change, necessitating a change in hardware configuration, only one upgrade (RAM, hard disk, processor, etc.) should be scheduled during the equipment's life cycle.
- For each computing lab, the Lab Supervisor shall be responsible for monitoring the operation of all hardware and software resources in the lab. He/she shall immediately report to the Office of IT of the University about any malfunction of PCs or other computing and network resources. The Lab Supervisor shall also be responsible for general maintenance and for ensuring that students have no difficulty in efficiently

utilizing all resources (hardware and software) throughout the semester. In addition, at the end of each semester, all resources in the lab shall be thoroughly evaluated and maintained. In this regard, he/she shall contact the Office of IT for any needed support for periodic maintenance or upgrading at the end of each semester.

- Subsequently, the Lab Supervisor shall submit a report to the Lab Committee of the concerned Faculty at the end of each semester about the functioning and adequacy of the hardware and software resources in the lab and steps taken for periodic maintenance and upgrading, if carried out.
- The Lab Committee of each Faculty shall coordinate with the Office of IT to ensure that all resources in the computing labs of the concerned Faculty are regularly maintained and upgraded, if needed, to the satisfaction of the Lab Committee, faculty members, Lab Supervisors, and students.

Periodic Replacement:

In general, computers should be replaced in specific locations when the hardware becomes a barrier to the user. This occurs primarily when the University's standard software suite, or the software required for instruction, service, or research work will not run effectively on the existing hardware. At the same time, it is important to realize that computer replacement is expensive, disruptive and labor intensive for both the end user and the IT staff. Changing computers often requires a migration of data files and ancillary programs from the older units to the new units, and may require relearning software functionality when the computer comes in with newer software versions. Further, adding a new computer with new software versions to an existing office or facility can cause problems when shared files are no longer compatible. In an effort to balance the need to upgrade with the negative effects of replacement, computer purchasing must be orderly and planned in advance. The replacement policy outlined here covers all devices used by students, faculty, staff or administrative units.

- The University life cycle for desktop and lab computer/workstations is three to four years. The life cycle for University and lab servers is determined by the application software and will be established individually.
- Areas that require more technology that is contemporary may receive new computers more often than every three to four years life cycle. These locations are to be established in consultation with the Faculty's Deans, and identified on the replacement schedule.
- Replaced computers that are less than four years old will be recycled into locations to obtain an effective three to four years of primary use and maintain the University on an overall four-year replacement cycle.
- Recycled computers should remain in their second location for at least one year.
- The distribution of recycled equipment is to be identified in the replacement schedule and managed by the campus central representative for inventories.
- For budgeting purposes, computer replacement should be included as an annual, specifically identified line item in the Faculty's budget.
- Replacement computers are to be purchased on a University-wide basis. The University establishes a standard computer configuration for each purchasing cycle. Some installations require additional

options. A procedure will be developed in consultation with Financial and The office of Procurement to determine how options should be budgeted and purchased.

- A replacement schedule will be maintained as part of the University's computer inventory. The inventory/schedule will be maintained through the Office of IT
- Campus representative and central Office of IT will be responsible for maintaining inventory/replacement information on the equipment within their areas and for requesting any changes in replacement time frames. The Office of IT will prepare the University's budget request for replacements and provide it to the office of Finance and Office of Procurement at the appropriate time.
- For planning purposes, a computer's projected replacement date should be established when initially acquired.
- Replacement ordering will occur within the University's established computer ordering cycles.
- Computers purchased should be deployed so they equip entire offices or labs during one purchase cycle. Users within definable networks, classes, offices and areas should all be working with hardware and software of the same vintage, except as follows:
    - Some office computers will not have the same software requirements as the rest of the office's equipment. For example, a PC may be a single function device used by a University aide where compatibility or efficiency of use is not a major factor. Here, a recycled PC or a PC replaced less often may be more appropriate as long as the presence of this computer on the network does not inhibit network security or functionality. The computer inventory/replacement schedule will document where these ancillary computers are used.
    - Computers should be purchased with enough technical capacity to support the user through the entire life cycle. The selection should seek to balance an increased life cycle resulting from purchasing increased capabilities against the initial cost. The standard PC configuration should not be modified external to the review/approval/involvement of the Office of IT.
- Computers are the property of the University. When a computer is replaced, it becomes available for reassignment to other uses at the University. Recycling plans are identified in the University's replacement schedule and will be managed by central and campus staff.
- Distribution decisions are made on a University-wide basis in advance of replacement. Upon the installation of a replacement computer, the recycled PC is normally returned to the warehouse or campus storage location awaiting redistribution after all new replacement computers are installed.
- Requests for recycled computers should be made to the campus Office of IT. Procedures for managing recycle requests shall be developed by the campus.
- If an additional PC is needed within an office, the campus should first look to acquire a unit from stock, of the same vintage as the rest of the office's equipment. The goal is to keep the entire office/unit on its initial replacement schedule and all users on the same software versions.

Back up Policy

This policy aims to protect the information assets of AU, and prevent the loss of data in case of an accidental deletion or corruption of data, system failure, or disaster. Furthermore, it will help manage and secure backup and restoration processes and the media employed in the process.

Statement

Data Backup is the responsibility of the Office of I.T. who defined which data/information to be backed up, the Recovery Point Objective, and the Retention time.

All backed-up data/information are stored locally.

This policy applies to the below mentioned servers/systems in the Information Technology Department:

- Oracle Database.
- Library System.
- SIS/ORS Database
- HR.NET Database
- Dynamic AX
- Domain Controller (DC) Servers.
- Windows Servers.
- Archiving System.
- E-Learning System; and
- University Website.

- The retention periods of information contained within the system level backups are designed for recoverability and provide a point-in-time snapshot of information; as it existed during the time period defined by system backup policies.
- Backup retention periods are in contrast to retention periods defined by the business requirements.
- System backups are not meant for archiving data for future reference.

Description

Systems will be backed up according to the below schedule:

Data	Backup Type	Time	Location
Banner	Oracle DB Backup	Daily at 22:00	Data Domain
SIS	SQL DB Backup (Full)	Daily at 20:00	Data Domain
Dynamics-AX	SQL DB Backup (Full)	Daily at 20:00	Data Domain
HR-net	SQL DB Backup (Full)	Daily at 20:00	Data Domain
OAS/ ORS/ Fuj ORS	App Data Full	Twice a week (Mon, Fri 20.00)	Data Domain
Library System	SQL DB Backup (Full)	Daily at 20:00	Data Domain

	App Data Full	Twice a week Tues, Sat 22:00	Data Domain
DC Servers	Full Backup	Twice a week Mon, Fri 02:00	Data Domain
Windows Severs	Full Backup	Twice a week Mon, Fri 2:00	Data Domain
Archiving System.	SQL DB Backup (Full)	Daily At 20:00	Data Domain
	App Data Full	Twice a week Mon, Fri 2:00	Data Domain
University Website	Full backup	Twice a week Mon, Fri 20.00	Data Domain
E-Learning System	Full backup	Weekly Thursday 22:00	Data Domain

- Backups will be written to Data Domain Appliance and stored in the Data Center.
- Daily backups will be maintained for 30 days
- Weekly backups will be maintained for a period of three Months.
- Weekly backups of the systems mentioned blow will be transferred to an off-campus location and replaced, either Fujairah campus or on Cloud side, through network:
    - Banner
    - SIS
    - MS Dynamic AX
    - HR.NET
- Monthly backups will be maintained for 12 months.
- Avamar System Manager will clean up old backup according to AU Backup Policy.
- Media will be retired and disposed of as described below:

- Prior to retirement and disposal, IT will ensure that:
    - The media no longer contains active backup images
    - The media's current or former contents cannot be read or recovered by unauthorized party
    - Backups will be verified periodically
- On a daily basis, logged information generated from each backup job will be reviewed for the following purposes:
- To check for and correct errors.
- To monitor the duration of the backup job.
- To optimize backup performance where possible.
- The IT will identify problems and take corrective action to reduce any risks associated with failed backups.
- Random test restores will be done once a week, in order to verify that backup shave been successful

- The IT will maintain records demonstrating the review of logs and test restores to demonstrate compliance with this policy for auditing purposes.

Data Recovery

- In the event of a catastrophic system failure, off-site backed up data will be made available to users within three working days, if the equipment destroyed has been replaced by that time.
- In the event of a non-catastrophic system failure or user error, on-site backed up data will be made available to users within one working day.

Restoration Requests

- In the event of an accidental deletion or corruption of information, requests for restoration of information will be made.

Responsibilities

- Backups and Data Recovery for the below mentioned systems is done by System team members:
  - Banner Oracle Database.
  - Library System.
  - SIS/ORS Database
  - HR.NET Database
  - Dynamic AX
  - Domain Controller (DC) Servers.
  - Windows Servers.
  - Archiving System.
  - E-Learning System
  - University Website
- The Oracle Team members do backups and Data Recovery for the Oracle Database, SIS, ORS and Applications.
- Backups and Data Recovery for the E-Learning system are done by outsource to Renaissance InfoTech Company as it takes care of the support.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 2.0	14/07/2013	New Policy with new regulation and guidelines to cover AU systems and services	IT Manager
V 2.1	03/10/2017	Minor review to back-up, maintenance, internet usage	IT Manager

G. Physical Resources

جامعة عجمان
AJMAN UNIVERSITY

Residential Life Policy

Policy Owner	Students Housing Manager	Responsible Office	Deanship of Student Services
Approved By	Dean of Student services	Effective Date	Apr. 2017
		Next Review Date	Jul. 2020

Purpose

This policy sets the basic rules and disciplines needed to provide the University students, males and females, with reliable housing facilities suitable for their needs and expectations away from their families. This policy lays the foundation for the University housing supervision and monitoring, defining rules and responsibilities of each person involved in housing administration.

Definitions

***University*:** Ajman University (AU)

Vice Chancellor: Vice Chancellor for Academic Affairs and policy endorser.

***Semester*:** Semester according to the University annual academic calendar.

***Student*:** Student, males or females, residing in a University housing facility.

***Participants*:** Students, males and females, utilizing the University housing facilities.

***University Housing Application Form*:** Application form filled by students to reserve a University housing space. The form includes all the rules and regulations of University housing reservation and withdrawal.

***Reservation*:** Service provided by the University Housing Office to define the specifications of required room before the beginning of the semester.

***Withdrawal*:** Withdrawal from the University Housing after acceptance of participant.

Service Fees: The fees defined by the University Housing Administration in return to University housing service.

***Relatives*:** The individuals whom students are allowed to leave the University residence with during ordinary visiting times.

Supervision of University Housing

- The University Housing Office manages the student housing affairs and sets out the relevant rules and regulations. The Student Accommodation Office shall keep records of all students residing in the University housing facilities, including students' personal information, their credentials and disciplinary history related to housing violations.
- The Office of Student Affairs shall be the supervising and regulatory authority responsible for AU University Hostels.

Service Beneficiaries

- Any student who has an AU ID may be admitted to AU hostels according to room availability, given that the student accepts the hostel rules of occupancy.
- Students transferred from other universities may be admitted to AU hostels, based on the decision of the Student Housing Manager.
- Students are considered admitted to AU hostels only after they undergo a medical checkup at AU Medical Unit. The students have to prove they do not have any public-health related illnesses and are psychologically and socially fit.

Housing Reservation

- The housing reservation form is filled out after the student is accepted by Ajman University. The form includes all the rules and regulations pertaining to reservation and withdrawal from the university hostels. By signing the application form, students accept AU Housing rules of occupancy.
- Senior students have to fill out new application forms before the end of each semester; otherwise they may lose their right to stay in AU housing facilities.
- A student may lose the right to stay AU housing facilities, in case a disciplinary decision by the Student Disciplinary Committee is issued in this respect.

Fees of University Housing

- University Housing fees are set out by AU Chancellor, based on a recommendation from the Vice Chancellor and the Student Housing Office
- To apply for AU student accommodation, students must fill out and sign the reservation form, pay the reservation fee and commit to pay the remaining fees in accordance with the rules set out by AU Finance Office.
- The University Housing Reservation Form includes the dates of reservation and withdrawal along with a calendar for reservation and withdrawal rules.
- It is strictly forbidden to make cash payment to employees of the Student Housing Office. No billing receipts are accepted except those issued by AU Finance Office. In the case of a daily lease for non-AU students, payment should be made at the student housing facility and the money shall be transferred to the Finance Office.
- Housing reservation fees are specific to the semester booked for and cannot be transferred to other semesters. It is also not possible to transfer fees from one student to another.
- For students enrolled at Ajman University, they have to pay the accommodation fee, along with the tuition fees using their university ID. Interns and CEC students are required to pay 50% of the room fee in advance and should complete the payment in the middle of their studies. Non-AU students are required to pay full accommodation fees before they enter AU student housing facilities.

- All AU Student Housing beneficiaries, on semester-based lease, have to pay an insurance, defined in the Student Housing Fee List. The insurance amount is returned when the student withdraws from the housing facility.
- The financial rules governing AU Student Housing Facilities are subject to the rules and regulations issued by AU Finance Office.

Daily Use of University Housing

- The Student Housing Office has the authority to apply daily-based accommodation as appropriate according to availability as follows:
    - The students who lived in previous semester.
    - Ajman University students who attending for academic reasons.
- The priority for housing services shall be given to semester applicants followed by daily applicants.

Student Housing Services

Ajman University provides its students with an array of services. Among these services is the University Housing which the Student Housing Office is endowed with running and managing. As such, AU Housing Office strives to combine all the elements necessary to guarantee that any and every student is provided with quality housing services capable of ensuring them an enjoyable stay and a healthy environment for their academic achievement.

i. Providing full-furnished rooms.
ii. Cleaning and maintenance services.
iii. Social and administrative supervision through-out the day.
iv. Shuttle buses between the Accommodation and the university.
v. Security regulation.
vi. Medical services.
vii. Group trips for shopping and for activities.
viii. Free WIFI.

University Residence Cards

- After being admitted into the University Housing, the Office of Admissions and Registration shall provide the student with a University Housing Card, in a color different from that of the student ID card, indicating that he/she is using the University Housing.
- When female student entering the hostel, the internal hostel administration grants the student a pass card through the university housing gate with the picture of the student and all the information that is used by her to pass to the university and automatically record all her movements.

- The University card or the pass card is personal and should not be used by others, and the student who loses his/her card has to notify the Student Accommodation Office.

Student Right to Change Room

- The University Housing room assignment goes according to the rules set by the Student Accommodation Office, taking the student preference into consideration, whenever possible. The Administration shall make available the type of the required room, but not a specific room number. The student should stay in the room assigned to him/her and is not allowed to sleep in another room, prior to filling a specific form, available with the housing supervisor, to transfer to the other room. The student's choice shall be taken into consideration, given the availability of the room he/she prefers
- Housing management takes into consideration students' desire to identifying the occupants to share the room with them as available.
- Not allowed for the student to stay outside the room allotted to him.

Absence and Sleeping outside the University Residence

- Students have to obtain a written permit from their official guardians to sleep outside the University residence. The University Housing supervisor must keep this written permit in the student's follow-up file.
- Any student have an exit permit from her guardian may obtain a temporary exit permit for the visit or overnight stay outside the residence according to the data approved by the student's guardian. The permits will be monitored electronically by the internal hostel administration.
- In case of the student's absence from the University residence without a written permit, the guardian is informed and the student receives a warning. If the student repeats this conduct, he/she will be asked to appear in front of the Student Disciplinary Committee, and the committee's decision is implemented.
- Residents must enter and exit the Residence through the revolving gate using the electronic card. The residents must not leave the premise without their own card. In case the card is lost, please contact the reception desk to request a replacement.

Leaving the University Residence

- The University Housing fees cover the period of the whole semester, according to the academic year calendar at AU. The University Housing shall not receive students between semesters, unless the student proves that he/she has academic duties to achieve during this period of time. In all cases, residence fees during this period are calculated on a daily basis, according to the rules and regulations of the Student Accommodation Office.

- At the end of the academic year, it is possible for students who have already booked for the next semester to hand their personal belongings in a bag or a closed box to the Student Accommodation Office to be kept till the beginning of the new semester.
- The Student Accommodation Office reserve the right not to keep in its possession the student's personal belonging, if he/she fails to return to the University Housing within one months of his/her last leave.
- Students who wish to leave the University Housing have to submit, in person or through regular mail, a written letter to the Student Accommodation Office, taking into consideration the timetable for reservation and withdrawal from the University Housing.
- In case the student like to withdraw from hostel, he must hand over the room content, which granted, before received the checkout form.
- After completing the checkout procedures, the student should submit the clearance form to the financial office to complete the financial procedures.

The Night Attendance (Female Only)

- All residents are required to complete their evening check-in before 11 p.m. using the fingerprint device in each floor. Failing to do so will subject the resident to liability.

General Instructions for University Housing Students

- Students admitted to the University Housing should maintain straight behavior in lines with the Islamic norms and local traditions of the UAE Society. Students should maintain civilized behavior and take care of the University facilities and properties, as well as the belongings of their fellow roommates.
- University Housing students must treat each other as brothers and sisters. They should rise above minor disagreements and devote themselves to studying and academic achievement. Students are encouraged to benefit from the cultural, sport and social activities organized by the Office of Student Affairs and the Student Accommodation Office.
- Female students' permits for leaving the University Housing will be according to the forms approved by their guardians. No changes are permitted without a new approval of the female student's guardian.
- The female student's permit sheet shall include the names of relatives allowed to visit the student. The visits are arranged according to the rules and regulations of the Student Accommodation Office and at the places designated for visits.
- The female student's guardian is identified during housing application, in which his/her name and address are written. The female student guardian must be a first-degree relative.

Responsibilities of University Housing Student

- A student using the University Housing receives a furnished room, by signing on a special form to agree that he/she is fully responsible for the room content unless he/she has a signed the checkout from the University Housing office.

Duties of Resident Students

- Submit all required documents and correct data for internal Student Accommodation Office
- Keeping the room clean, good usage of the housing facilities, respecting time schedules and norms of good conduct, including showing in the lobby and visit areas in suitable attire.
- Taking care of personal and valuable belongings, as the Student Accommodation Office shall not be responsible for their loss.
- Avoiding misuse of electrical devices belonging to the University Housing Department or others. Turning off the light and AC devices when leaving the room.
- Keeping quiet and calm and avoiding using stereos or gathering in groups after 10 pm.
- Observing rational use of water and electricity.
- Behaving well with the University Housing employees and reporting complaints to the housing supervisors.
- Following the scheduled time for attending the residence facility no later than 11 pm for male students and 9 pm for female students, except for emergency situations accepted by the housing supervisor. When a female student enters the University Housing with a relative, the relationship of the student to the relative must be checked.
- Night attendance- for female student.

Student Relative

- The Student Accommodation Office may accommodate the student's first-degree relatives in single rooms only, according to availability, on a daily basis once within the semester for three days only for free, otherwise the financial rules and regulation will applied according to availability.
- Students are allowed to meet visitors and relatives in designated visit areas during the visit's scheduled times.

Housing Prohibitions

a. Doing acts not in lines with good manners, Islamic behavior and in contradiction with the values and traditions of the UAE society.
b. Behaving in a way not in line with the University values, rules and regulations.
c. Abusing the use of the University Housing properties.
d. Possession of weapons or explosives.

e. Using magazines or video tapes including photographs or materials not in compliance with the general norms.
f. Using kittles and other water boilers, working with gas or electricity, which can cause fires inside rooms.
g. Bringing living animals or birds to the University Housing facility, without an officially written permission.
h. Displaying any posters or photographs, or writing and drawing on walls or furniture, or misusing any University Housing.
i. Bringing children to the University Housing facilities.
j. Any act not allowed by the Student Accommodation Office.
k. Smoking cigarettes or Shisha inside rooms.
l. Using incense burners and candles.
m. Misusing regular cameras and mobile phone cameras in a way, which violates the privacy of fellow students.

Complaints

- Students have the right to complain about misconduct, mistreatment, or abuse of the rules and regulations by the housing employees, or companies or administrations dealing with the Deanship of Student Services, to the University Housing office, which shall investigate the matter and bring violators before the University Disciplinary Committees.
- The Deanship of Student Services is the supervising body overlooking the proper and transparent implementation of the Student Accommodation rules and regulations.

Disciplinary System of the University Housing Students

- All students residing in AU Student Accommodation facilities shall enjoy responsible freedom. On the other hand, students failing to abide by the Student Accommodation rules and regulations may be subject to disciplinary penalties.
- Without prejudice to the regulations of the students' affairs and the provisions thereof concerning the conduct of the conduct, disciplinary action shall be deemed to be a violation of the laws, regulations, instructions and customs of the university or to perform any act prohibited by virtue of these regulations or other regulations or instructions emanating from them.
- Students’ violations of the Student Accommodation rules and regulations are filed in a preliminary report to the Student Accommodation Office within 24 hours to conduct an inquiry and issue the appropriate penalty. The Student Accommodation Office may decide a violating student should show before the Student Disciplinary Committee.
- All students in the University Housing are required to observe the disciplinary rules of the Office of Student Affairs. Violating students of the University Housing regulations shall be held responsible for the terms of this policy, all other rules and regulations stemming from it.

Penalties

- Students who violate the Student Accommodation rules and regulations are subject to one of the following penalties:
    1. Verbal warning and signing of a commitment
    2. First written warning
    3. Second written warning, with the guardian being notified
- If the violation is repeated, the student shall be referred to the Student Disciplinary Committee.
- The above penalties shall be implemented only after a written investigation with the student is conducted and after hearing his/her defense. However, if the student fails to appear before the investigation without any acceptable justification after receiving a written notification, he/she will lose his/her right to defend himself/herself and his/her violation shall be processed in his/her absence or as the Student Disciplinary Committee may see fit.

Implementing Penalties

- The above specified penalties shall be implemented by the Student Accommodation Office.
- The Student Disciplinary Committee has the right to allocate any of the three (3) penalties.
- The assigned penalties shall be final. In case of dismissal from the University, the student may appeal to the University Chancellor within a week from receiving the written decision of the Student Disciplinary Committee. The decision of the University Chancellor shall be final.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	New policy - organize student residential life	University Facilities and Services Department
V 1.1	23/04/2017	Revised term and practices for housing rules, eligibility, fees, and allocation priorities.	Student Housing Manager

Health Services Policy

Policy Owner	Medical Services Manager	Responsible Office	Office of Medical Services
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	Jul. 2020

Purpose

- Provide primary healthcare to students, faculty, staff and eligible dependents.
- Provide emergency healthcare to Residential Hall and campus residents after working hours, at weekends and on holidays.
- Support the integration of University services and provide a healthy atmosphere to accomplish the University objectives of a disease-free community.
- Provide high quality integrated health services in a timely manner, providing complete customer satisfaction.

Statement

The University Medical Clinics seek to compliment the academic mission of AU and are dedicated to providing educational, supportive, consultative healthcare services to students, staff, college and eligible dependents. In doing so, the Medical Clinics strive to make the campus a healthy and safe place to study, work and live.

1) The University, as an employer, is committed to providing and maintaining a healthy and safe working environment that promotes wellbeing for all its employees, students and any other people who may be affected by its activities. The ultimate responsibility for ensuring implementation of this Policy lies with the University Office of Medical Services.

   University Office of Medical Services is responsible for ensuring compliance with the University Health Services Policy within their areas of control and are required to report annually on their health and safety action plans. They have a key role in encouraging a positive attitude to health and safety through appropriate management arrangements.

   All staff and students have a responsibility to promote a healthy and safe working environment to safeguard their own health that of their colleagues, and are required abiding by rules and requirements made under the authority of this policy.
2) This Policy applies to all premises and activities within the control of the University.
3) This Policy has the following objectives:
   - to comply with the requirements of relevant legislation and current good practice;
   - to identify significant hazards (the potential for harm), assess risks (the likelihood of that harm being realized) from activities involving those hazards and manage those risks;

- We Comply with **safety and health standards** and **regulations** issued and enforced by:
  - **UAE Ministry of Health** and,
  - **OSHA***-approved international guidelines (**OSHA***: **O**ccupational **S**afety and **H**ealth **A**dministration, USA)

Regarding Personal Safety Guidelines (PPE), First Aids Kits, First Aid Emergencies Standards, Items Sterilization, Workplace and environment Safety, Occupational Safety and Health Standards, Hazardous Waste Operations…

- to promote a positive attitude to health and wellbeing at the University amongst all staff and students;
- to ensure that employees, students and others are adequately informed of the relevant identified risks;
- to ensure that employees, students and others receive appropriate instruction, training and supervision;
- to ensure that staff and students are competent to deal with the risks they encounter;
- to consult widely with staff and students and with employees' representatives on health matters;
- ensure that this documentation and supporting information is made accessible, primarily through the University's web pages and at induction for staff;
- to make arrangements for co-ordination and co-operation with other employers;
- to monitor actively the management of risks to health;
- to review the effectiveness of health risk management and where appropriate to implement improvements;
- to provide expert occupational health and safety advisory services.

4) Immunization policy for AU Students

All students are required to have a complete immunization record at registration time.

Any special case regarding immunizations is discussed with the student individually.

- **Tetanus:**
  Students are required to have a Tetanus immunization (TD or Tdap) every 10 years.
- **Measles, Mumps and Rubella:**
  Students must show documentation of two (02) MMR vaccinations or documentation of positive IgG titers for measles, mumps, and rubella.
- **Varicella:**
  Students must document month and year of disease, show proof of chicken-pox vaccination dates or documentation of a positive Varicella IgG titer. All School of Medicine Students must be tittered.
- **Hepatitis B:**
  Students must show documentation of three (03) doses of Hepatitis B vaccine or a positive Hepatitis B Surface Antibody. All College of Dentistry Students must show evidence of a positive Hepatitis B Surface Antibody.

- **TB skin testing:** All students are required to receive an annual TB skin test.

Vaccinations are under the policy of Ministry of Health/ Preventive Medicine - UAE.

5) Duties and responsibilities

The Medical Services Administration provides the following primary healthcare, within available capabilities, through its clinics:

- Round-the-clock services for males and females
- General Clinics: primary healthcare, treatment, preventative medicine and health education on common diseases through the general practitioners to the University community;
- Nursing: comprehensive nursing care and services, including routine and emergency cases, recording patient details and providing treatment;
- Reception: receiving patients, preparing the patient files and records, recording personal data, preparing daily, monthly and annual statistics;
- Referral System: referring urgent cases to hospital specialists;
- Medical Insurance work for our staff members and their dependents
- Following up chronic cases and coordinating referrals to hospital specialists if necessary;
- Approving medical checkups for new students done in MOH facilities.

6) Medical units

There is a medical unit in the University's campus, as well as in the student hostels. The medical units ensure that a healthy environment is maintained in all university premises, and provides students with the following medical services:

- Medical examinations for new students done in MOH preventive medicine with delivery of medical certificates showing that the student is fit for studying and free of infectious diseases, approved by AU medical clinics;
- Examination and prescription treatment as appropriate;
- Emergency treatment;
- Medical supervision of sporting and social activities;
- Raising health awareness among students;
- Organizing seminars on medical issues for the benefit of students;
- First-Aid training;
- Checking medical certificates and advising on medical-based student excuses according to the University policy given to every new student during registration time titled **"Announcement to New Students".** This announcement explains that:
    - Students who miss lectures or exams for medical reasons have to present their medical reports in the University clinics within 48 hours from the end of their sick leaves. It should be the original sick leave (not copy or fax).
    - Medical certificates will be approved by the University doctors' decision.

- During the exams, sick leaves should be issued from the University clinics or hospitals.

- Regarding sick leaves for staff members, every employee should have the AU medical approval stamp before submitting it to HR.
- All employees beneficiate from Ajman university medical insurance, which allow them to consult in most hospitals, and medical clinics across the country.
- Our medical center in AU provides the same services for employees under the coverage of the insurance to facilitate the access to the medical care in the working place Free of charges.
- Some of the many services we offer at the University Medical Center:
    - Emergency First Aid, daily consultations, visits for illnesses or injuries, minor procedures, Au student's activities, health awareness sessions: Diabetes, Smoking, weight management, psychological support.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	New policy – Prevention and wellness guidelines	Medical Services Department
V 1.1	23/07/2017	Minor change	Medical Services Manager

Health and Safety Policy

Policy Owner	Environmental Health and Safety Officer	Responsible Office	Office of Environmental Health and Safety
Approved By	Chief Operating Officer	Effective Date	May. 2019
		Next Review Date	May. 2020

Purpose

This policy sets forth to maintain a safe and healthy environment throughout the campus and establish standard operating practices designed to assure the safety of all its stakeholders including employees, faculty, students, subcontractors, and visitors.

Statement

Safety is the business and responsibility of every stakeholder and it is planned to be achieved through proper education, training, use of protective equipment, and enforcement of safety rules. This commitment begins at the working level and extends upward through Supervisors, Managers, Directors, and Deans to the highest level of AU administration. All requirements for occupational health and safety are stipulated in details in the Safety Manual to enable AU to control its Health and Safety risks and to improve Health and Safety performance.

Environmental Health and Safety

AU is committed to providing and maintaining a safe and healthy working environment for employees, students, subcontractors and visitors. To ensure a safe and healthy work environment, AU shall:

- Strive for continual improvement by setting Environmental Health and Safety (EHS) objectives, targets and regular performance monitoring of the EHS System.
- Actively encourage the accurate and timely reporting and recording of all incidents and injuries.
- Investigate all reported incidents and injuries to ensure all contributing factors are identified and, where appropriate, plans are developed to take corrective control measures.
- Identify all existing and new hazards and take all practicable steps to eliminate, isolate or minimize the exposure to significant hazards.
- Ensure all employees are aware of the hazards in their work area and are adequately trained to enable them to perform their duties in a safe manner.

- Ensure all students are aware of the hazards in their campus areas and are adequately informed to enable them to perform their studies in a safe manner.
- Encourage employee consultation and participation in all matters relating to environmental health and safety.
- Communicate the Safety Manual and Environmental Health and Safety Policy to all internal and external related parties.
- Ensure that the Safety Manual is available to all interested parties.
- Review the Safety Manual on annual basis to ensure that it is relevant and appropriate to AU operations.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	11/09/2016	Revision with the addition of regulations for emergency evacuation and parking/traffic regulations	Health and Safety Officer
V 2.0	01/05/2019	New policy – Communicate and promote Health and Safety	Environmental Health and Safety Officer

H. Fiscal Resources

جامعة عجمان
AJMAN UNIVERSITY

Financial Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The Primary purpose of the Financial Policy is to establish financial rules and procedures guidelines for the University community and set financial standards, to enable efficient management of all financial and physical resources to serve accomplish the University's mission. This policy applies to the whole University community.

Statement

This policy serves as a guideline pertaining to proper recognition of revenues and expenditures, making sure that all transactions complying with financial accounting standards, leading to highest accuracy levels of income measurement, proper evaluation of financial assets and liabilities, as well as maintaining an efficient internal control system.

Revenues

Tuition and registration fees of the University are recognized based on the year of semesters and on the date of registration. Tuition fees received in advance during the previous year are recorded as income in the current year (accrual basis). Tuition fees received in advance are refunded to students who withdraw from the University during the semesters in accordance with the University's internal policies.

Tuition fees in all the colleges and programs are determined in accordance with the credit hours system.

Receipting and Deposits

- All monies (cash and cheques) received by cashiers are to be deposited by next working day into the University's bank account. Such deposits must be accompanied with a bank deposit slip.
- Each cashier detailing the receipt vouchers issued during the day, including amounts, types of collection, and other relevant details, and finally submitted to the Main Cashier, prepares a Daily Cash Receipt Report.
- The main cashier will prepare a bank deposit slip in duplicate copies by the end of the day. The relevant particulars will be recorded on the bank deposit slip.
- The bank account in which the cash is to be deposited will be ascertained prior to allotting the account codes to the bank receipt voucher.

- The cash will then be taken to the bank through Money Transport Company along with both copies of the bank deposit slip.
- The bank will retain the original and will return the duplicate duly acknowledged which will be attached to the related Journal Voucher (prepared the same day).
- The Accounts Department will reconcile the total amount of cash deposited into the bank with the total of the receipts for the day to ensure prompt banking.
- The deposit should be prepared by a person other than the person collecting the cash.
- A person (other than the person preparing the deposit) should review the deposit and agree the official University cash receipt to the deposit back-up documents.
- Bank Statements should be reconciled with the University's statements to ensure all transactions are accounted properly.

Expenditures

a. Overview

For simplicity of presentation and to facilitate easier understanding of the accounting procedures connected with expenses and purchases to be followed, this has been divided into three main categories:

- Expenses for which payments are made in advance (prepaid expenses), such as rent, that will be recognized later.
- Expenses, which are recognized periodically, such as payroll, utilities, and professional/audit fees.
- Other expenses, which are recognized and paid when invoices are received, such as Printing, Stationery, Travel and Transportation expenses.

All expenses of any of the above mentioned expense types shall be initially approved by the budget section prior to commitment with any external party on future payments, either through issuance of LPO or entering into contract. Approval or rejection of the requisitions submitted to the budget section shall be based on the annual approved budget limits of the concerned office/college.

b. Prepaid Expenses

The Accounts Department will receive the supporting documents pertaining to prepaid expenses such as: Tenancy contract, Agreements, and Requests for payments, after being approved by Budget Unit.

A bank payment voucher will be prepared based on these documents, which will be sent to the Accounts Manager for approval. The agreements and contracts will be maintained in a permanent file in the Accounts Department.

Based on the approved voucher, the Accounts Department will update the Prepaid Expenses Register that will include the payee name, nature of payment, amount prepaid and period of payment.

At the end of each month, a journal voucher will be prepared to pass entries for charging that month with the relevant amount of each item of prepaid expense. The amount to be charged will normally be the

proportionate amount determined by spreading the charge equally over the months covered by the contract.

The Accounts Department will periodically review the adequacy of the monthly absorption of prepaid expenses. If the charge is found to be incorrect, suitable amendments will be made to the basis of quantifying the amount for future absorption.

c. Accrued Expenses

The Accounts Department will accrue for the value of all expenses for which the benefit has passed to the University but the invoices from the supplier/party has not been received by the end of the month.

Examples of such expenditures for which accrual entries shall be passed include printing and stationery materials, standard fixed utility expenses like electricity, water and telephone, payroll, end-of-service benefits and auditing fees.

The accrual entry shall be passed through journal voucher. The basis of quantifying these expenses will be either the past expenditure or estimates from previous invoices.

The Accounts Department will prepare a schedule of accruals, which will be sent to the Finance Manager for approval. After obtaining the Finance Manager's approval and incorporating any changes, a journal voucher will be raised and posted to record the accruals.

At the beginning of the next accounting period, the accrual entry will be reversed upon receiving the invoices/supporting documents, and properly accounted for the concerned supplier/ party throughout creation of a credit note to be attached to the documents then filed serially.

d. Other Expenses

- Expenses will be requisitioned through an Expense Requisition Form. This form will be completed by any staff member and signed by the Office Manager/College Dean. The form will indicate the items/service required and justification for the proposed expenditure.
- The form will be first passed to the Budget Unit for approval according to the available budget limit, and if approved it will be passed to the Office of Procurement for execution. As a final approval authority prior to issuance of an LPO by the Office of Procurement, the Finance Manager who will review it and ask for further clarifications and/or justifications regarding the expenditure shall further approve the requisition. The Finance Manager’s final decision will result in any of the following situations:
    - **For proposed expenditure below AED500:**
        - The expenditure request is approved with no advance;
        - The expenditure request is approved with an advance; Or
        - The expenditure request is rejected.
    - **For proposed expenditure above AED500:**
        - The expenditure request is approved, Or
        - The expenditure request is rejected.
- One of the main criteria for sanctioning or rejecting proposed expenditures is the non-availability of budgeted funds. If the available budget limit is insufficient, the Budget Unit will reject the

proposed expenditure prior to being received by the Stores (if available in stores) or the Office of Procurement (if not available in stores and needs to be purchased). In case the requisition is of high necessity and critical for running the operations, it should be approved by, higher management authorities based on recommendation from the Budget Committee then it can be processed.

e. Rejected Expenditures

The Finance Manager (after considering the Budget Section's feedback) will indicate his/her reasons for rejecting the request for the proposed expenditure. Expenditures that have not been approved will be considered at either a later date or the following period when budgeted funds are available.

Petty Cash

- A petty cash float, as approved by the Finance Manager will be maintained on an imprest basis to be used for direct purchases or for routine and repetitive payments. The payments should not exceed AED 1,000 per invoice unless approved by the appropriate authority.
- The issue of float will be recorded through a bank payment voucher. The balance will be transferred to the petty cash holder's prepaid card.
- The petty cash holder will prepare a Petty Cash Purchase Requisition based on relevant supporting documents (invoices).
- The PCPR together with the relevant supporting documents will be forwarded to the Budget Unit for approval, next to the Office of Procurement for approval and then to the Accounts Department for approval and processing.
- The approved PCPR with its supports will be considered for preparation of payment to the petty cash holder's prepaid card. The PCPR and the supports will be validated by an Accounts Payable supervisor, and then be posted to relevant accounts.
- The PCPR will be attached to the journal voucher generated by the Accounts Payable Supervisor for the petty cash expenses along with the invoices and the supporting documents.
- Reimbursement of imprest petty cash will be made through a Bank Payment Voucher (BPV) raised by the Accounts Department to the petty cash holder's prepaid card.

Bank Payments

- Payments over AED 500 will be made by cheque.
- The specific procedures relating to invoice processing and payment to creditors for expenses and goods/services are described in the "Expenses" section.
- The specific procedures relating to disbursement of salary and other employee related expenses are described under the "Payroll" section.
- The specific procedures relating to transfer-out to other bank accounts are described under "Transfers Between Bank Accounts".

- The Accounts Department will prepare a Bank Payment Voucher (BPV) based on the relevant invoice or supporting documents.
- The BPV together with the relevant supporting documents will be checked to ensure that:
    - The invoice and supporting documents have been approved;
    - Payment is being made to the right beneficiary for the correct amount;
    - The account codes are correct.
- The Accounts Department will prepare a cheque based on the approved BPV in favor of the beneficiary for the requisite amount. The cheque and BPV details will be sent to the cheque signatories.
- The cheque will be handed over for delivery to the beneficiary directly after obtaining his signature (confirmation of receiving the Cheque) either on the Cheque Payment Voucher or through the courier.
- Based on the BPV and issued Cheque, the voucher will be posted and an automated accounting entry is affected to related accounts.
- The Cheque Payment Voucher (CPV) will be filed serially along with the supporting documents. Where a CPV is cancelled for any reason, it will be marked "Cancelled". In the related accounts, the word "Cancelled" will be entered against the transactions.

Bank Reconciliation Statements

Bank reconciliation statements to be prepared every month by the preparer, are to be checked, signed by the Chief Accountant and approved by the Finance Manager. Any long outstanding or non-moving balances are to be brought to management's attention.

The following are the steps in its preparation:

- The outstanding balances in the previous month's reconciliation to be cleared, if any balance is not cleared it need to be enquired and reported to the chief accountant for further action.
- All transactions of current month to be agreed between the books and bank statement.
- The reconciling items to be listed and the statement of reconciliation to be prepared.
- Any non-receipt of statements should be followed up and properly documented.
- Delay or no response cases should be reported to management for further action.
- Separate file to be maintained for each bank.
- Statements should be obtained by at least the 10th of the subsequent month or where possible online.
- Once the reconciliation statement is prepared it should be checked and approved by the Chief Accountant.

Accounting Reports

The Accounting System Manual deals with various reports and registers to be prepared and their purpose and distribution. Generally, they are grouped as Accounting Reports/Registers.

The following reports should be prepared:

1. **Monthly Trial Balance**

- The Trial Balance summarizes and prints the total movements in each General Ledger Account during the month. The General Ledger Accounts are segregated into the following categories on the trial balance:
  - Revenues
  - Expenses
  - Assets
  - Liabilities
  - Capital
- The Chief Accountant will review the trial balance for any unusual movements, investigate any such items, and make corrections, if necessary, by way of Journal Entries.
- Having carried out his review and having satisfied him/herself as to the accuracy of the figures reported on the trial balance, the Chief Accountant should sign the trial balance. The trial balance will then be submitted to the Finance Manager for approval.

2. **Quarterly Financial Statements**

- The most important reports to be generated each quarter are the Quarterly final statements. These comprise of the following:
  - Balance Sheet.
  - Income Statement.
- After checking the trial balance, the Chief Accountant will prepare the Quarterly Balance Sheet and Profit and Loss Statement.
- After preparing the financial statements, the Chief Accountant will check the figures with the trial balance and then submit it to the Finance Manager for review.
- The Finance Manager will then review the Balance Sheet and Profit and Loss Account and make any necessary comments.
- Then the Finance Manager will sign off on the Balance Sheet and Profit and Loss Account and forward them to the COO.

3. **Debtors and Creditors Age Analysis Reports**

- Debtors Age Analysis Report

This report is one of the crucial reports for control of debtors. In this report, the balance in any Debtor's Account is analyzed by aging the balances into various categories i.e. 1-30 days, 30-60 days, 60-90 days, over 90 days.

4. **Creditors Age Analysis Report**

   It is always necessary to keep track of the payables and settle their dues to the creditors on time. It will improve the trade relations and the market credibility or reputation. Hence, this report is generated at the end of every month to identify the dues payable and to help mobilize funds as per the credit terms. It also helps in cash budgeting and projecting cash flows.

5. **Accounting Register**

   Other accounting registers which are important like: Inventory ledger, Property, plant and equipment register.

Distribution of financial reports

Financial reports are distributed quarterly to the following official:

- Chief Operating Officer (COO),
- College Deans to show the profitability of their operations,

External bodies as per the requirements of the relevant regulations and bodies.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial Policy	Vice President for Administrative and Financial Affairs
V 1.1	20/09/2012	Policy reread - no changes	Financial Controller
V 1.2	16/07/2017	Minor changes – Petty cash, approvals	Chief Operating Officer

Cash Management Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The policy serves as a guideline towards safeguarding AU's cash resources, and it details the flow of cash resources, in terms of receiving cash from students, acceptable currencies, PDC's conditions, remittances through banks, and regular deposit of available balances into bank accounts.

Statement

A set of policies and procedures controls the process of collecting cash and depositing into bank accounts, in a way that reduces the risks involved, avoids accumulated excess (idle) cash balances, and increases AU's ability to use its own cash resources in meeting daily spending requirements as well as decreases bank borrowings to the minimum levels.

Accepted Currencies

- GCC currencies.
- United Stated of America Dollar (USD)

Foreign Currency Exchange Rates

The Office of Finance will define the fixed exchange rate for each currency and display the rates on the screens. Rates are defined as per the market.

Collections from Students/Clients

- The following types of payments are accepted by the University:
  - Cash Payments (in currencies mentioned in point no.1 above).
  - Current Dated Cheque Payments.
  - Post-Dated Cheques Payments.
  - Credit Card Payments.
  - Wire transfers/Direct Bank Deposits.

- Payments by cheques should be in local currency and a cheque withdrawn on a local bank.
- Payments by PDC should comply with AU internal policy.
- Payment received through Wire Transfers/Direct Deposits will be credited to beneficiary account after checking the bank statement to insure receiving the same to our bank.

Daily Collections

- Payments received by AU will by entered to the beneficiary account on the spot and an official (system) receipt voucher will be printed for the payee.
- Each collector (Teller) has a separate custody, which contains all payments received by him/her during the day and still not dispatched to the Main Cashier.
- End of day; Teller should count physical amounts in his/her custody, tally the amount with custody report total and then to deliver his collections to the Main Cashier.

Bank Remittance

Daily collections will be consolidated and delivered to the bank next working day.

Secure Holding of Receipts Prior to Deposit

Any cash or cheques not deposited should be kept in a locked, fireproof safe, cabinet or lock box. The access to the above should be restricted. Post-dated cheques should be treated in the same manner and cashed on the cheques date.

- Cash should be kept in a safe and properly protected place.
- All cash receipts must be deposited into the bank the following day. Collections from the imprest cash should be segregated.
- All cash collected will be kept in a safe with two keys, one of which will be with the Cashier and the other with the Finance Manager. A duplicate set of the keys should be kept in the safe custody of the Finance Manager.
- Cash in the safe and in transit should be insured against theft and fire. A Fidelity Insurance Cover for the accountant responsible should also be taken out.
- At the end of the day and/or during the absence of the accountant, who maintains the cash balance, the safe should be locked

Regular depositing of Receipts within Approved Time Frames

- All receipts (cheques/cash) should be deposited daily into a designated bank account.
- The accounts department will prepare a bank deposit slip in duplicate at the end of the day or during the day. The relevant particulars will be recorded on the bank deposit slip.
- The bank account in which the cash is to be deposited will be ascertained prior to allotting the account codes to the bank receipt voucher.

- The cash will then be taken to the bank along with both copies of the bank deposit slip. The bank will retain the original and will return the duplicate duly acknowledged which will be attached to the related Bank Receipt Voucher (BRV).
- The accounts department will reconcile the total amount of the cash deposited into the bank with the total of the receipts for the day to ensure prompt banking.

Reconciliation of Receipts and Deposits

- At the end of each month, a Monthly Cash Tally Sheet will be prepared after reconciling the physical cash with the balance as per the general ledger.
- The accountant should also tally the physical cash balance with the balance as per the general ledger after ensuring that the receipt vouchers, petty cash vouchers and outstanding temporary advance slips for the month have been settled.
- In the event of any shortage/excess noted on verification, the discrepancy should be looked into. If the amount is to be recovered from the accountant concerned, he should reimburse the shortage promptly. If prompt reimbursement is not possible, the shortage should be debited to his personal account and should be recovered from his salary or other amounts due to him.
- The total of all receipts will be checked to the subsequent day's bank deposit slip. The account codes and supporting documentation will be checked prior to posting into the system. The accountant will check the transaction journal the following day to ensure that the account codes have been correctly entered in the system.
- All cancelled copies of Cash Receipt Vouchers (CRVs) will carry the "cancelled' stamp and missing sequence numbers will be investigated.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	Vice President for Administrative and Financial Affairs
V 1.1	20/09/2012	Policy revisited - no changes	Financial Controller
V 1.2	16/07/2017	Policy revisited - no changes	Chief Operating Officer

Procurement and Inventory Control Policy

Policy Owner	Procurement Manager	Responsible Office	Office of Procurement
Approved By	Chief Operating Officer	Effective Date	Feb. 2017
		Next Review Date	Jun. 2020

Introduction

This manual has been issued pursuant to Decision (5) for the year 2016 on purchases, tenders, auctions and warehouses. The provisions of this manual shall apply to the University of Ajman's contracts pertaining to the procurement of goods, construction, works, maintenance, transport, rental of equipment, technical programs and materials, as well as the various forms of services.

The manual covers all the activities of the University's Procurement and Warehouses Office, define the role of the Procurement Committee and guide the process of developing and formulating the rules and regulations that govern all aspects of the procurement processes at the University. It further sets the framework according to which procurement processes are conducted - from developing a procurement plan through to making the required purchases, with a view to securing all the procurements in a timely manner, appropriate quantities and at adequate prices.

Definitions

Wherever they appear in this manual, the following words and phrases shall have the following denotations unless the context indicates otherwise:

1. *Procurement and Warehouses Office*: The organizational unit that carries out the tasks relating to procurement and warehouses.
2. *Delegation of Authority Guide:* The set of rules and regulations that govern the delegation of authority regarding financial and non-financial matters or equivalent.
3. *Policies*: The rules and provisions provided for in this manual, which are in line with the University's Strategic Plan.
4. *Methods*: The rules or principles relating to a specific activity that distinguishes it from other activities, as well as the means and technologies in place that could be used to facilitate work.
5. *Procedures*: The instructions and detailed steps, which must be followed in implementing the contracts.
6. *Supplier*: The external party, which supplies the university with the various types of materials that the university needs.
7. *Contractor*: The natural person or legal person who provides all the services needed by the university or carries out works for the university, including the materials deemed as part of the scope of work.
8. *Contract*: A legal document, which establishes a mutually binding relationship between the university and a supplier or a contractor regarding the provision of services or execution of works or the supply of materials and goods.
9. *Contract Value:* The original value of the contract added to it the value of all variation orders, if any.

10. *Variation order:* Any change order relating to any paragraph or article or provision or condition provided for in the contract issued by the Procurement Office or a legally competent entity authorized thereof.
11. *Purchase Order*: An agreement between the university and a supplier to deliver goods, materials or services that explicitly provides for a specified financial limit and time framework issued directly by the Procurement Office.
12. *Price Agreement:* A specific formula for concluding contracts with suppliers to procure and deliver materials or services over a specified period of time with a view to facilitating the procurement procedures.
13. *Direct Order Purchase:* A method of purchase under which the contractual process is conducted by directly approaching a single supplier or contractor without a need for contacting various suppliers to request quotations; such a method is dependent on the Procurement Office's knowledge of the market circumstances, with the end result of obtaining the best prices.
14. *Practice Purchase:* The method of pprocurement under which the process of procuring materials and services is conducted by requesting quotations from registered and approved suppliers via fax, electronic means or sealed envelopes. Following a screening process, the most technically viable and financially cost-effective quote shall be selected, with full observance of the university's best interest and the achievement of value for money for it. However, in doing so, the selection of suppliers shall be based on clear-cut criteria that are consistent with this manual.
15. *Procurement through competitive bidding:* The method of procurement under which the process of procuring goods and services that the value of which exceeds AED 250,000 (two hundred and fifty thousand dirhams) as per certain specifications. It involves inviting offers electronically or in sealed envelopes from various suppliers. The envelopes are opened by the Procurement Committee and the supplier who offers the best bid technically and financially is selected, with due care given to the requirements of the requisitioning unit. There are two types of competitive bidding - public tender and restricted tender.
16. *Public Tender:* The tender notice is advertised on newspapers, magazines and other media outlets to give an opportunity to all interested suppliers to submit their bids to deliver the required goods as per the terms and conditions laid down by the Procurement Office.
17. *Restricted Tendering:* A specified number of registered suppliers and contractors pre-selected by the Procurement Office are invited to bid for the supply of the required goods as per the terms and conditions laid down by the Procurement Office.
18. *Request for Quotations:* A written request or invitation (unless impracticable), sent to registered suppliers and contractors to obtain price quotations from them to purchase goods with certain known and standard specifications, or to provide services or execute works whereby the price constitutes the principle factor on the basis of which the offer is accepted and the purchase order is issued and the contract or price agreement are concluded.
19. *Invitation to Bid:* A written request/invitation advertised on newspapers, magazines, Ajman University portal and other media outlets (in the cases of public tendering) or sent directly to a number of preselected suppliers or contractors (in the cases of restricted tendering) asking them to submit itemized quotations to purchase specified goods, provide services or execute works.
20. *Price Quotation/Bid:* A document issued by the supplier or contractor upon request from the University to submit a price quotation or an invitation to bid issued by the university. The document

shall contain the specifications of goods, services and works submitted by the supplier or contractor, including the prices and conditions of sale, delivery and payment.

21. *Task Order:* An order issued for the performance of specific services. It is used to obtain some simple services and do non-recurrent jobs. Payment for these orders is effected once the task is completed.
22. *Bidders List*: The list of suppliers and contractors.
23. *Single Source:* An exclusive agent or sole distributor of a commodity or service, which is not available by any other supplier as, proved by the experience of the Procurement Office thereof.
24. *Bid Bond:* A bank guarantee submitted along with the price quotations to assure serious participation in the tender.
25. *Advance Payment Bond*: A bank guarantee offered to the supplier if he asks for an advance payment before supplying materials or starting the execution of works.
26. *Performance Bond:* A bank guarantee provided by the contractor as a guarantee of good performance of the contract and its implementation in accordance with its terms and conditions.
27. *Auction*: A method of selling or letting fixed assets, equipment, and damaged or depreciated materials and other similar items by means of bids submitted in sealed envelopes or public offers made in an auction.
28. *Warehouse*: The place designated for keeping the items classified as "Stock Items" and "Disposal Items". A main central warehouse may be established along with other minor warehouses, if need be, which are supplied from the main warehouse. Minor warehouses, though, may receive purchased materials directly. However, all purchases shall be carried out by the authorized bodies and in accordance with the applicable regulations.
29. *Storekeeper*: The officer who manages and supervises the warehouses or the administrative unit in charge of supervising it. His responsibilities include organizing the items cycle regarding receipt, inspection, stocking, issuing, returning and relocating. He shall carry out the activities of this cycle and control it.
30. *Stock Items:* Items which are classified as "stock items" as per the provisions of this manual. They are kept in warehouses until the need arise for them in future. Stock items are purchased upon the request of the storekeeper as per the approved procedures.
31. *Disposal Items:* They are the equipment, damaged or depreciated materials that are identified for sale in an auction or any other method following the approval of the Inspection Committee.
32. *Immediate Consumption Items:* All items that are not classified as "Stock Items". Their value is not included in the warehouses accounts books. They are received from the supplier by the the storehouses' staff and delivered to the requisitioning unit at the university.
33. *Warehouses Inventory:* The quantity and value of all the materials kept in stock. The inventory increases in quantity and value as a result of stock items purchases, returned items or items relocated from other warehouses. The inventory decreases in quantity and value as a result of stock items being issued for consumption or items returned to suppliers or relocated to other warehouses.

Scope of Application of the Manual

1. The provisions of this manual shall apply to all the purchases made by the university faculties and its various administrative departments. None of these entities shall be exempted from the application of the provisions of this manual.
2. This manual covers the contracts, methods and procedures applicable to purchases, receipt of materials, services contracts and works execution contracts whatever they might be.
3. The provisions of this manual shall not apply to the following:
   a. The overhead expenses, which are a form of expenditure which does not have a specific technical description (a scope of work). They include the cost of water, electricity, telephone lines, newspapers' and general magazines' subscriptions, subscriptions with professional and non-professional entities; conferences and exhibitions subscription fees, consultancy services, academic accreditation expenses and sundry expenses, as well as other similar general administrative costs which are not subject to standard specifications.
   b. The contracts and agreements between the university and government bodies.
4. The following provisions shall apply to insurance contracts:
   a. The insurance contracts for the university's assets against fire, damage, theft and other risks shall be subject to the provisions of this manual.
   b. Regarding the insurance contracts for works and services during the period of execution and maintenance against risks of fire, damage, theft and other risks, the suppliers and contractors dealing with university shall comply with the contractual terms and conditions which are consistent with the provisions of this manual.

Financial terms

Allocated Budget

The following rules shall be observed:

1. No contracts shall be concluded to procure materials, services or projects unless they have approved funds specifically allocated to them as part of the University's general budget. In the case of contracts extending beyond the fiscal year in which those contracts are entered into, necessary measures shall be taken to allocate funds for them in the following fiscal year.
2. Should the value of required works surpass the funds allocated for a college or a department, the matter shall be put before the budget committee as appropriate.

Approval Authority Limit for Purchase Orders and Purchase Requests

* ***Purchase orders and requests shall be authorized as per the following:***

Amount (in Dirhams)		Designee authorized to approve purchase order and request
From	To	
1,000,001	No upper ceiling	Procurement Committee* and Vice-Chancellor
100,001	1,000,000	Procurement Committee*
1,001	100,000	Procurement Manager
(*) Recommendations and minutes of meetings of the Procurement Committee shall be approved by the University's Operations Manager		

Forms of Contracts and Orders

1. With the exception of construction contracts, all forms of contracts, supply of services and goods contracts, materials supply agreements, purchase orders, works contracts, materials requisition forms, invitation to bid letters and receipt of offers documents shall be standard-form documents pre-prepared by the Procurement and Warehouses Office.
2. Any exemptions from the approved standard contractual terms and conditions shall only be made with the approval of the Procurement Committee and that shall be at the most minimal level.
3. Contractual terms and conditions and standard criteria shall protect the interests of the University, provided that they are realistic, balanced and observant of the relevant laws.
4. Contractual prices and conditions provided for in the services contracts, price agreements and purchase orders shall be adhered to; prices shall be fixed and itemized whenever possible; the pricing policy may be based on the cost, with a specified profit margin added provided that it is at a most minimal level.
5. In coordination with the requisitioner, the Procurement Office shall select the appropriate services contract form taking the following into account:
    - Realistic estimation of the contract value and its term
    - Competitiveness
    - Performance risks
    - Level of complexity of the required works
    - Adequacy and completeness of the listed specifications and the scope of work
    - Possibility of variations
    - Past experience
    - Urgent and pressing requirements

Price Agreement

1. The University's Procurement Committee is the designee authorized to identify the commodities and services for which a price agreement is to be issued.
2. Suppliers who are qualified to enter into price agreements using any appropriate purchase method shall be selected. The selected suppliers shall then be approved by the Procurement Committee.
3. Price agreements shall be issued in accordance with the Procurement Committee's requirements and they shall be subject to review (amendment, renewal or revocation).

4. Price agreements concluded with suppliers shall include specifications of materials and services, unit price, date and duration of delivery and execution.
5. The Procurement and Warehouses Office shall notify all units of the University of the Commodities and services governed by price agreements with suppliers.
6. All units of the University shall purchase goods and services as per the price agreements so long as such agreements are still in force. Approval of the university's Procurement Committee shall be obtained in the cases of purchases made outside the framework of the price agreements.
7. Price agreements shall be signed by the university's Procurement Manager, Legal Advisor and Operations Manager; this shall be done following the final approval of the appropriate authorized designee as provided for in the University's delegation of authority guidelines.

Procurement Office Role

Procurement Office Duties

1. The Procurement Office at the university shall secure the continuous availability of materials, products, necessities, fixed assets, services and other resources needed by the various departments of the university. The task shall be done in a way, which guarantees that these entities will perform their duties properly. That shall be achieved through commitment to observe the following when concluding a contract or making a purchase:
   a. Securing the best prices, facilities and conditions
   b. Observing quality standards and required specifications
   c. Selecting appropriate sources
   d. Supplying the required quantities.
2. The Procurement Office shall execute the purchase orders regarding the materials and services that the value of which ranges between AED 1,000 (one thousand dirhams) and AED100,000 (one hundred thousand dirhams) by looking into at least three price offers. The Procurement Office may also execute purchases through direct orders within a limit of AED 10,000 (ten thousand dirhams). In cases of purchases whose cost exceeds this limit, approval of the Procurement Committee shall be sought.
3. As for purchase orders whose value exceeds AED 100,000 (one hundred thousand dirhams), the Procurement Office shall raise the issue in a note addressed to the Procurement Committee after consultation with the requisitioning unit to approve the procurement of works and determine the method of purchase. The note submitted to the Procurement Committee shall include a list of the proposed bidders in the cases of restricted tenders.

Procurement Office Responsibilities

1. Collecting and maintaining information on suppliers and goods.
2. Determining the standard required specifications in the purchased goods as defined by the requisitioning body.

3. Ensuring that the procurement transactions and the tendering invitation documents are compliant with the standards of quality.
4. Analyzing and examining the goods to be purchased in coordination with the requisitioner in terms of specifications, quality, prices, terms and conditions of purchase and delivery, as well as identifying ways of developing and improving the same.
5. Proposing the inclusion of new goods or agencies, revising, and improving purchase methods.
6. Negotiation with contractors and suppliers to secure the best possible prices.
7. Ensuring the compliance with specifications of materials and services for which quotations have been obtained - a step that makes the comparison between suppliers' prices logical. In the event of the variation of prices of materials and services offered by suppliers as a result of specifications differences, the items deemed by the requisitioning unit experts as non-compliant with the specifications shall be disqualified. In this regard, it should be noted that it is difficult to make price comparisons between items with heterogeneous specifications.
8. Submitting recommendations to the Purchase Committee regarding the imposition of penalties on suppliers and contractors and the lifting of penalties from them.
9. Establishing new, strong and long-term relationships with the suppliers dealing with the university.
10. Providing all the university's administrative units with all the necessary information and data on goods, local and potential suppliers to help those units prepare their annual budgets.
11. Drawing up the annual procurement plan and identifying the appropriate purchase sources based on the purchase plan already laid down by the requisitioning unit at the university.
12. Following up the implementation of the annual purchase plan and revising it when necessary, as well as securing uninterrupted flow of materials, items, spare parts, fixed assets and any other necessities for the various university units with the required specifications, quantities, quality and at best prices.
13. Receiving all materials requisitions, examining and validating them.
14. Establishing contacts with suppliers and inviting quotations from them.
15. Issuing local and external purchase orders and signing long-term and short-term contracts with suppliers
16. Following up the execution of the purchase orders in coordination with requisitioner.
17. Submitting periodical reports to the operations manager on the executed works.
18. Maintaining and updating the suppliers and contractors register.
19. Determining the monetary value of bid bonds in coordination with the Procurement Committee.
20. Determining the monetary value of tender documents in coordination with the Procurement Committee.
21. Approval of repayments for documents of cancelled tenders as per circumstances.
22. Regarding contracts related to the supply of continuously needed materials, steps to renew existing contracts or concluding replacement contracts shall start well before the expiry of the running contracts in order to ensure the availability of the required materials.

Business Ethics

1. The Procurement Office shall execute the contract with the utmost degree of commitment to business ethics and transparency and in an atmosphere characterized by high professional integrity and spirit of competition.
2. Splitting of purchases, works and services with the intention of circumventing the rules and procedures provided for in this manual is prohibited.
3. Full transparency with and equal treatment of all suppliers and negotiating with them in a professional manner shall be guaranteed.
4. Under no circumstances shall the prices offered by any supplier be revealed to another supplier.
5. In cases of renegotiation with a supplier on their offered prices, all other suppliers shall be accorded equal opportunities of negotiation.
6. It is strictly prohibited to award procurement and services contracts to a party with the aim of achieving personal interests for the university official in charge; or in situations in which that official is offered a reward, gift or any form of favoritism from a supplier or contractor with the aim of securing a contract or enjoying a special treatment.
7. The Procurement Office personnel shall abide by all policies and procedures, commit itself to continuous improvement to attract a large number of qualified suppliers and contractors and nurture a spirit of competitiveness so that only qualified businesses can survive. The Procurement Office personnel shall particularly abstain from the following:
    a. Having a personal interest directly or through an intermediary in works or contracts linked to the university business,
    b. Engaging in any professional work or commercial business activity related to the university business by themselves or through an intermediary, nor shall they lease any property, land or so with the aim of exploiting their jobs to achieve personal interests thereof.
    c. Offering preferential treatment to any person, group or establishment or acting in whatever manner that may undermine the public's trust in the university.
8. In cases of violations or suspicious practices, suppliers and contractors dealing with the university may submit complaints and grievances to the Vice-Chancellor or his deputy as applicable. Suppliers and contractors may also file grievances against the Procurement Office's decision on the award of bids or any perceived lack of fair competition requirements or any other form of illicit practices, provided that the grievances are genuine and well-founded.
9. Every staff member of the Procurement Office is under an obligation to safeguard the documents under his custody. The staff members shall be held accountable for safeguarding the information contained therein and shall not disclose such information to or share it with any other unauthorized parties or individuals except under certain rules and procedures applicable at the university.

Suppliers and Contractors

Register of Suppliers and Contractors

The following rules shall be observed:

1. The Procurement Office shall maintain a register for the prequalified suppliers and contractors to engage them in all types of services and materials contracts.
2. The Procurement Office shall set pre-qualification and registration standards for suppliers and contractors, depending on the nature of the business.
3. The Register of Suppliers and Contractors shall include the business activity profile, information on the business registration with the Chamber of Commerce and Industry, any licenses required for carrying out the activity, ownership particulars, full addresses and any other necessary business-linked information.
4. The Procurement Office shall finalize the process of registering suppliers and contractors, including the screening of the hard copy or electronic registration applications and attachments therewith. The office shall also finalize the pre-qualification process of the suppliers and contractors according to the applicable approved standards and conditions and shall ensure regular updating of the Register of Suppliers and Contractors.
5. The names of suppliers and contractors shall accurately match the particulars of the trade licenses or any other alternative equivalent credible documents. Particular attention shall be given to the acronyms attached to the legal personality of the business, that is, whether it is a company or an establishment or a corporation, etc.
6. Companies and establishments willing to register shall complete a registration application form specially designed to that end and submit it to the Procurement Office. The Office shall then scrutinize the licenses and certificates submitted by the applicant to ensure that they meet the conditions and legal requirements.

Pre-qualifying Suppliers and Contractors

1. The Procurement Office shall ensure that all suppliers and contractors registered with the university are qualified to perform their respective business activity. However, it should be noted that pre-qualification for a certain activity does not necessarily mean pre-qualification for other activities.
2. Suppliers and contractors may not be registered or have their registration renewed if they fail to meet the pre-qualification requirements.
3. Pre-qualification standards and conditions shall be recorded in a standard checklist which should address all legal, commercial, financial and technical aspects, as well as the track record of suppliers and contractors as follows:
    a. The legal aspects referred to in the previous paragraph shall include all the licenses required to practice the business activity be they from the Economic Development Department or the Chamber of Commerce and Industry or any other relevant bodies. All documents shall be valid upon registration with the university.
    b. The commercial aspects shall include the relationship with establishment managers, agency licenses, arrangements with expertly managed supply and delivery sources with which the

university had engaged in previous business dealings, as well as other establishments and entities.

c. The financial aspects shall include a sound financial standing, which could be verified by a certificate of financial ability from a bank.

d. The technical aspects shall include the availability of highly skilled workers, appropriate and sufficient equipment, workshops and warehouses.

e. The track-record aspect could be established by looking at a statement listing successful award of previous contracts and former business dealings performed successfully.

4. In the cases of public tenders, each tenderer not registered in the suppliers and contractors register shall have to meet the pre-qualification requirements before opening the tender envelopes.

Procurement Committee

The committee shall be formed under a decision by the Vice-Chancellor or a person authorized by him. The number of the committee members shall not be less than five, including the chairperson and his/her deputy. The Committee shall look into bids, tenders and contracts and shall exercise its authority and discharge its responsibility in accordance with the provisions of this manual. The Committee's secretary shall be a non-member.

Procurement Committee's Meetings

5. The quorum of the committee's meeting shall only be valid with the attendance of the majority of members provided that the attendees shall not be less than four, including the chairman or deputy-chairman. The committee's decisions shall be taken by majority vote. If the votes are equal, the chairman or deputy shall have the casting vote. Objecting members shall have the right to request the noting of their objection in the minutes of meeting, along with the reasons thereof.
6. The meetings shall be held regularly, with the Committee's chairman determining their schedules. Members of the committee and concerned departments shall be notified of the dates of meetings. The Committee may hold emergency meetings should the need arises.
7. Immediately after the meeting, the secretary of the committee shall write the minutes, which shall be presented to the Committee members to be signed by them.
8. The minutes of meeting shall be deemed final following the endorsement of the Vice-Chancellor or his/her delegate.

Duties of Procurement Committee

1. Looking into purchase requests and making recommendations and decisions thereon. The Committee shall have the right to look into the contracting policies, strategies and practices. In this regard:

a. The Committee shall look into the financial and technical aspects of purchase requests and examine the technical reports prepared by the concerned committees of faculties and administrations.

b. The Committee shall ensure that the purchase procedures are neutral, transparent and observant of competitiveness and quality.

c. The Committee shall not consider the purchase requests if they are not technically sound.

d. The Committee shall have the right to go back to the requisitioning division to obtain answers to the Committee's questions. The secretary of the Committee shall notify the requisitioning unit of the date of the meeting arranged for that purpose.

2. Determining the prices for renting the university's grounds, show rooms and similar facilities to external clients.
3. Opening the envelopes of tenders and bids.
4. Looking into the complaints filed by suppliers and contractors and the recommendations regarding the incurred penalties and compensations, as well as the full or partial relief of delay penalties.

Mechanism of Submitting Purchase Requests to Procurement Committee

1. The Procurement Office shall receive materials and services purchase requests from the various faculties and administrative units through the electronic purchase system. The requests shall include all the information needed to carry out the purchase.
2. The Procurement Office shall sort the requests according to their estimated value.
3. The requests whose value falls outside the authority limit of the Procurement Manager (as per the table showing the approval authority limits) shall be referred to the Procurement Committee for action. The Procurement Office may also refer some other requests to the Procurement Committee for advice on how to carry out the purchase if it is deemed necessary to make this referral.
4. Having received the requests and ensuring the appropriateness of the materials, goods and specifications, the Procurement Committee shall determine the purchase and contracting method.
5. The Procurement Office shall carry out the purchase by issuing a purchase order or preparing a contract in the fashion approved by the Procurement Committee.

Types of Purchases

Purchases of operation fixtures and spare parts

These are the materials and items purchased to operate appliances, science laboratories and office equipment, as well as the materials needed for carrying out office and other activities. Such materials include stationary, spare parts of printers, photocopiers and office appliances; students' textbooks, ink, paper and other accessories.

Capital Purchases

These are the items that remain economically useful during a life span of more than one year. Such purchases can lead to the acquisition of fixed assets. They also include the expenditure on materials that prolong the lifespan of fixed assets or increase their productivity to an extent that may surpass the productivity of their original design capacity.

Services Purchases

These are the services which the university obtains from outsources. They include banking and financial institutions services, professional and consultancy services, issuance, maintenance, cleaning, advertising and administrative and office services.

Urgent Purchase (Emergency Purchases)

The purchase of materials or services for an urgent need if failure to make them available immediately would result in a significant harm.

- Urgent purchase shall be approved as follows:

The college or unit in question shall send an urgent purchase request to the Vice-Chancellors office or his delegate for approval, with the justification for the urgent purchase provided.

In case of approval, the requisitioning unit shall enter the purchase request on the electronic purchases system to finalize the purchase process after the deduction of the relevant amount from the approved expenditure category.

Procurement Procedures

Completing a Materials Requisition Form

The requisitioning department shall complete a materials or service requisition form via the university's electronic procurement system. This is done by entering all the necessary particulars required for executing the purchase process accurately, easily and quickly. The required quantity of materials and goods shall also be specified along with the delivery time and and estimated value of these materials and goods. Assistance may be sought from the Procurement Office to specify the estimated value of the required materials and goods and to advise any other adjustments that might help in determining the purchase method but without recourse to split purchase.

Reserving the Estimated Value from the Budget

Funds shall be available to purchase the materials through the university's financial office. If funds are available for the requested purchase, the requisitioning department shall in coordination with the financial office arrange for releasing the necessary funds for executing the purchase process. Requests made during the last two weeks of the university year shall not be accepted.

Materials Requisition Approval

The materials requisition shall be approved by the Dean of the Faculty or the director of the relevant department and that shall be in accordance with the applicable delegation of authority guidelines.

Determining Procurement Method and Inviting Quotations

After receiving and reviewing the materials requisition or a contract request and ensuring that the materials, goods and specifications are well-defined, the procurement and contracting method shall be determined as per the provisions of this manual. These methods include general and restricted tender, practice purchase and purchase through a direct order.

Public Tender

1. Public local or international tender contracts shall be concluded for transactions exceeding AED 250,000 (Two hundred and fifty thousand dirhams)
2. The public tender shall be based on three governing principles: publicity, equality and free competition.
3. The public tender procurement process shall go through four main stages: Publicizing the tender notice, evaluating the bids, concluding a contract with a supplier and delivering the purchased goods or executing the works constituting the tender subject matter.
4. The public tender may either be international or local, depending on a recommendation by the Procurement Committee. The international public tender is the process in which the invitation to the tender is sent to suppliers and contractors within and outside the country by means of the known methods of publication. The local public tender is the type of tender in which the invitation is sent to all suppliers and contractors within the country. In this case, the public tender notice shall be advertised within the country only.
5. The tender may be restricted instead of being a public one. Such a decision shall be made on a recommendation by the university's Procurement Committee.
6. 6. In case of international tenders, it is generally preferable for the prices to be presented on a standardized basis, e.g. F.O.B or C and F or C. I. F. - a measure to be determined by the Procurement Office.

Restricted Tender

1. The local or international restricted tender is a tender in which the invitation is addressed to a limited number of registered suppliers and contractors who shall be selected by the Procurement Office and endorsed by the Procurement Committee.
2. The restricted tender is conducted among a selected number of businesses engaged in the activity related to the tender subject matter, who are registered in the Register of Suppliers and Contractors. The number of selected tenderers shall not be less than three. Such type of tender may be international or local. It is sometimes referred to as selective tender or a short-list tender. It involves the selection of specific suppliers or contractors from a short list who are exclusively invited to tender. Those include, for example, suppliers of specialized equipment, which can only be obtained through a limited number of suppliers worldwide, including among other, electronics and special types of chemicals.
3. With the exception of the publicity element, a restricted tender is subject to all of the rules, regulations and procedures applicable to a public tender. Under all circumstances, the invitation to tender shall identify the unit to which the bids are submitted, closing date, required work or goods,

value of bid bond, performance bond, tender validity period after the closing date - which shall not be less than 90 days - tender pricing documents - if any - and any other information deemed by the university as useful for the business.

Practice Purchase

This method refers to the carrying out of purchases by selecting a group of suppliers and contractors who are approved for supplying materials and services whose value does not exceed the amounts specified in the table showing the authority limit of approval attached to contracting methods. The following cases are also subject to this method of purchase:

1. When the items had previously been solicited through a tender but the submitted bids thereof had not been accepted and the time constraints do not allow engagement in a new tendering process. The method shall also be used if the purchase of the said items requires making choices between more than one supplier or contractor who have offered similar prices or conditions.
2. When the cost of tenders is not appropriate in comparison with the estimated value of the goods, contracts and services.
3. When the Procurement Committee decides that it is not in the interest of the university to procure items through a public tender.
4. The goods whose manufacture or imports are monopolized.
5. The goods, which are only available through a specific trader or agent.
6. The goods with very sophisticated specifications, which makes it difficult to identify or the works of art that the university wishes to have them performed by certain experts.
7. The goods or works contracts that are time-sensitive and cannot wait until tender procedures are carried out.
8. If the situation involves the supply of materials or performance of works or delivery of services in place of a defaulted or slow-moving contractor or in the cases of contract termination.
9. Purchase of property and agreements regarding insurance, shipment and customs clearance contracts shall apply this method.

Direct Order

Purchase under direct order refers to the conducting of the purchase process by directly approaching a supplier, negotiate, and conclude a contract with him without a need for contacting other suppliers. This method is used in the purchase of materials and services whose value does not exceed the amounts shown in the authority limit of approval table that the Procurement Office is authorized to endorse. When using this method, the Procurement Office shall secure the best prices. The following items are also subject to the same:

1. The items are produced or supplied by only one body or the services provided by a certain agent - which makes it difficult to carry out the purchase by tender or practice.
2. The items, jobs and services that need to be urgently provided. However, the purchase shall be limited to the minimum quantities needed for the job while the requirements of carrying out the purchase by other means are being met.

3. The items with de facto prices or those whose prices are determined by the international stock market or certain international tariffs.
4. The items, works or services that the public good requires them to be conducted in confidence.
5. The items or works provided to the university by government agencies.
6. The items or works that require highly specialized expertise whereby selection of the provider is determined by a technical committee set up by the Vice-Chancellor or his delegate.
7. Newly introduced items procured by the university with the purpose of testing them.
8. The periodicals, manuscripts, collections and scientific chips needed for laboratory work.

Inspection Committee

1. After completing the procedures of writing them off from the accounts books, fixed assets which are no longer economically feasible to operate or have become depreciated, as well as damaged, stagnant or junk items shall be referred to a special advisory committee called the "Inspection Committee"
2. The Inspection Committee shall be set up in each faculty or office with the approval of the Dean of the Faculty or manager of the office in question or their equivalent. The committee shall be comprised of at least three members who shall be university employees with appropriate experience. The committee shall evaluate the items, estimate their prices and propose the method of their sale - be it through an auction or sealed envelopes offers or any other method of sale of disposal items whatever their value is. The committee shall then submit its recommendations to the Procurement Office or equivalent just for guidance.
3. Inspecting fixed assets and depreciated equipment, evaluating their condition, making recommendations regarding their sale or otherwise or proposing methods of selling them through either an auction or sealed envelopes offers or other means of disposal determined by the committee.
4. The Inspection Committee shall see to it that the inspection site is appropriate for those willing to participate in the auction and that the arrangements for the auction are adequate to facilitate inspection of items and participation in the auction, and hence attracting the best bids. This shall be done with full observance of transparency and competitiveness.
5. Notes submitted to the Procurement and auctions committee regarding the sale or rent of assets shall reflect the content of the Inspection Committee's reports.

Auction

1. The public auction shall be advertised in accordance with the same procedures followed in advertising a public tender. The advertisement shall include the information and specifications of the items offered for sale or rent.
2. All rules, regulations and procedures followed in the case of public tenders shall apply to the sale or rent by auction on a case-by-case basis.

Tender

Tender Procedures

1. The Procurement and Warehouses Office shall fully prepare the tender documents and set the conditions for participating in it before the endorsement of the same by the Procurement Committee and the advertising of the tender. These shall include:
2. The full technical specifications of the item or items to be supplied and the designs and technical drawings and sketches related to construction works, as well as the type of the required service and an accurate description thereof.
3. If so required, stipulating the submission of sample catalogs or sketches, which shall bear the stamp of the supplier or carry some distinguishing mark. It shall also stipulate that two or more units of the sample must be submitted in the case of items, which are consumable during tests and experiments conducted to determine their suitability.
4. Minutely detailed tables showing the required quantity of each of the tendered goods
5. The date set for opening the tender envelopes so that the suppliers and contractors (participating in the tender) can have ample time to study and submit their bids.
6. The tender validity period, which shall be, specified taking into account the market circumstances.
7. Payment conditions and guarantees for delivery, construction and provision of services.
8. Stipulating that when delivering materials, equipment, machinery or executing construction works, the supplier or contractor shall guarantee the fitness of these items during the required period.
9. Stipulating that fines, penalties and compensations shall be imposed in the cases that require the same and that these penalties shall be over and above the standard penalty clauses related to the failure of suppliers and contractors to fulfil their contractual obligations.
10. The tender notice shall be published at least twice in a widely read daily newspaper. The tender notice may appear on one or more foreign newspapers and via other available means.
11. The Financial Office shall receive the monetary value of the tender pricing documents directly from the tender participant under a note issued by the Procurement Office showing the tender number, participant's name and the amount of money paid by the participant. A receipt for the same shall be issued by the Financial Office.
12. Tender documents bearing the Procurement Office shall be handed out to the participants.
13. The Procurement and Warehouses Office may extend the tender validity period on a case-by-case basis.
14. The decision on the award of the tender shall be taken and the winner notified before the end of the tender validity period.

Bid Bond

A bid bond shall be secured for all tenders whose value is in excess of AED 1,000,000 (one million dirhams). The value of the bond shall be determined by the Procurement Committee as a lump sum

amount or a percentage of the tender value. The bond may take the form of an unconditional and irreversible letter of guarantee issued by a bank operating in the country.

Receipt of Bids

1. Tender bids shall be submitted in two separate envelopes, with one of them containing the technical bid and the other the financial bid.
2. Bids received after the set deadline may not be accepted.
3. Tenders shall be priced in the local currency unless otherwise provided for. The price of tenders shall be rendered in figures and words and upon discrepancy; the price written in words shall prevail.
4. Scratching and erasing shall be avoided in the bills of quantities or price lists. Any correction shall be done by deletion, with the deleted parts duly signed and stamped by the bidder.
5. If the bidder has not placed a price opposite to an item in the lists attached to the bid, this shall be construed as refrainment from tendering for that particular item.
6. In case of indivisible contracts pertaining to works, services and supply, failure to mention a price for a work, an item or a service shall be construed as implicit inclusion of the prices thereof in the total price of the bid but without prejudice to the Procurement Committee's right to disqualify the bid in question if the Committee deems it reasonable to do so.
7. The tender price quotations shall be deemed final and may not be revoked on grounds of price and currency fluctuations, taxes, duties, customs or any other similar situations. It shall be noted that the quoted prices are inclusive of all the costs required for the delivery of goods, completion of works and performance of services at the dates and locations specified by the university.
8. Bids submitted on the basis of discounting a certain percentage less than the lowest bid shall not be accepted. The bid price shall be a total fixed price.
9. The tender shall be conducted in accordance with the samples, specifications, drawings or approved services programs and other terms and conditions of the tender. The bidder shall be acquainted with the same. The bidder's submission of the tender shall be deemed an implicit acknowledgement thereof and hence the delivery of goods and survices and execution of works shall be done accordingly.
10. The tender participant may submit more than one bid. However, he shall submit a separate set of original tender documents for each bid and shall clearly indicate in writing that each set of documents represents an independent bid.
11. The bid documents shall include a notarized copy of the company's Articles of Association along with a document containing the names of the persons who have the authority to enter into contracts on behalf of the company or the firm and the names of the persons who are in charge of the contract performance along with clear samples of their signatures. This condition shall apply to suppliers and contractors who are not registered with the university, provided that their prequalification and registration procedures be completed before opening the tender envelopes.
12. All tender documents shall be regarded as personal to the tender participant and may not be passed to others.

13. The University's Procurement Committee shall meet at the place and time specified in the tender notice. The Committee shall record the bids in official minutes that must include the names of bidders, all substantial details of the tender, as well as taking note of samples, if any. Samples shall then be officially handed over to the concerned bodies at the university for the purpose of analysis.

Tender Amendment

1. When it is necessary to make changes in the tender invitation documents with regards to matters related to the contract terms, quantities, technical specifications, delivery schedule, date of tender submission or to dispel any ambiguity or correct errors in the tender documents, the tender shall be amended and all bidders be notified thereof.
2. Amendment shall not be made to the technical specifications nor shall the tender floating or execution period be extended without approval of the end user unit and the Procurement Committee.
3. It is strictly prohibited to make any amendments to the tender package after the tender envelopes are opened.

Cancellation of Tender

1. With the approval of the Procurement Committee and the end user unit, the invitation to tender may be cancelled when there is a substantial change of circumstances that requires floating a new tender or when the required materials or services are no longer needed.
2. All participants in a restricted tender shall be notified in writing of the cancellation of the tender. Reasons for the cancellation shall be explained and all bids that have not been opened shall be returned.
3. The cancellation of a public tender shall be announced in the same way in which the tender invitation notice is publicized.
4. In case of the cancellation of the tender, the tender documents' fees shall be refunded to the tenderers.

Evaluation of Tenders

1. Sealed bids shall be opened by the Procurement Committee.
2. The end user unit shall evaluate the technical aspects of the submitted bids and provide the Procurement Committee with a technical report thereof.
3. The best offers shall be selected, taking into consideration that the offer with the least price shall be amongst the technically acceptable offers and observing that it is meeting the requirements of the end user unit and achieving value for money. The best offers may be selected by giving some weight to the aspects of their technical viability and financial feasibility. The best offer may be selected even though it is not of a lesser price, provided that convincing arguments are put forward thereto.

4. If the prices of two bids or more are equal, the Procurement Committee upon a recommendation from the Procurement Office and in coordination with the end user unit may split the amounts or quantities of the tender subject matter amongst the bidders offering similar prices so long as such split will not harm the business interests.
5. The Procurement Office shall notify the successful bidder of the award in an official letter within a maximum period of one week from the date of the Procurement Committee's approval of the bid award. The successful bidder shall be asked to submit a performance bond and sign the contract within a maximum period of 15 days as of the award notification date.
6. Should the successful bidder fails to sign the contract within a maximum period of 15 days from his notification of the award without a plausible excuse; he shall be deemed as having withdrawn his bid. Consequently, his bid bond shall be seized and the university shall have the right to seize all or some of his receivables in addition to reserving the right to demand compensation for incurred losses.

Bank Performance Bonds

1. The supplier or contractor shall submit an unconditional and irreversible performance bond issued by a bank operating in the country if the value of the successful bid is in excess of AED 1,000,000 (one million dirhams). The value of the bond shall be determined by the Procurement Committee. The bond amount, however, shall be no less than 10% of the bid value, provided that no bank interest is imposed on the value of the performance bond letter.
2. The supplier may be relieved of submitting a performance bond letter for purchase orders or contracts whose value is less than AED 1,000,000 (one million dirhams) in the following cases:
    a. If the period of supply or performance of work in the contract does not exceed 90 (ninety) days. However, the Financial Office shall hold 5% of the the value of each invoice payable to the supplier which shall only be released after three months from the date of final delivery or as per the terms and conditions of the contract.
    b. If the materials have already been delivered and the contracted work been performed.
    c. If the supplier or contractor has monetary entitlements with the university equivalent to or more than the value of the performance bond. In such case, an amount equivalent to the value of the performance bond shall be held from said entitlements provided that the supplier or contractor submits a request to the Procurement Office to that effect.
3. The performance bond shall be valid throughout the contract period, in addition to a required three more months of validity of the bond.
4. The contractor shall provide a maintenance bond upon final execution of the contracted works (projects) as a guarantee for maintenance. The bond value shall amount to 5% of the contract value.
5. A contractor with the university from government departments, public establishments and corporations or other government bodies shall be fully relieved of submitting a performance bond and shall also be relived of advance payment bond paid by the university to the contractor.

6. If the successful bidder fails to submit the value of the performance bond within 15 days as of the date of notifying him of his bid acceptance or from the effectivity date of the contract, the university may:
    a. Seize the bid bond
    b. Blacklist the bidder, remove his name from the university's Register of Suppliers and Contractors, and suspend any dealings with him for one year as of the date of the award decision. The Financial Office shall be notified thereof.
7. The original documents of the bonds shall be kept with the Financial Office which shall be responsible for their renewal if need be. The originals of the bonds shall be returned to the contractor without prejudice to the contract terms and conditions as per the following:
    a. Approval of the Procurement Office for materials contracts and purchase orders.
    b. Approval of the Services and Facilities Office or equivalent for services and works contracts.

Contract

Drafting and Signing of the Contract

1. The Procurement Office shall prepare the contract documentation and coordinate with the Legal Advisor to prepare the contract format.
2. The contract shall be signed by the Procurement Manager, Legal Advisor and Operations Manager after the final approval of the relevant designee authorized to carry out such a task as explained in the university's delegation of authority manual.
3. The contract shall be signed by the supplier or contractor who shall sign their initials on each page of the contract and its attachments.
4. The Procurement Office shall issue two original copies of each services or materials supply contract, with one copy kept by the Procurement Office and the other sent to the supplier or contractor. A photocopy of it shall be forwarded to the Financial Office and the end user unit at the university.
5. The procurement Office shall issue a purchase order or a request order after the signing of the contract by the contracting parties. The purchase order shall be signed by the Procurement Office in accordance with the delegation of authority system.

Contract Administrator

The end user unit shall nominate one of its employees to administer each service contract related to the unit. The appointment shall be effected under a note submitted to the Procurement Committee. The nominee shall then be the end user unit's representative and the person authorized to deal with the contractor on behalf of the unit.

Responsibilities of Contract Administrator

The Contract Administrator shall undertake the following tasks:

1. Approval of all contract invoices.
2. Ensuring the performance of the contract at the specified time and in accordance with the conditions and specifications provided for in the contact, taking into account the quality requirements and the legal rights of the parties to the contract.
3. Ensuring that the university has properly fulfilled its obligations in a manner that protects its interests.
4. Dealing with the requests for information and amendments, disputes, claims and indicators of contract termination or cancellation. That shall be in accordance with the authority delegation manual and the manual herein.
5. Maintaining complete documentation on the performance or violation of the contract, with a view to protecting the rights and interests of the university.
6. Specifying the precise date for the performance of the contract if the period of the performance of the contract is broken down in days.
7. Carrying out all other procedures linked to the university's fulfillment of its obligations so as to smoothen the performance of the contractor's work.
8. Observing the non-change of the works provided for in the contract or non-addition of any works not provided for in the contract unless the same is done under an approved variation order.
9. Regarding contracts related to the continuously needed services, the contract administrator shall ensure the start of procedures to conclude a replacement contract well before the expiry of the running contract in order to ensure the continuity of the service at the university.

Contract Commencement Date

1. The period set for the performance of the contract shall start from the day following the signing of the contract or from the date on which the site is handed over to the contractor, whichever is practicable, unless otherwise has been provided for in the contract.
2. If the Contractor or his representative fails to arrive at the site to take it over on the specified date, a report shall be written and a copy thereof shall be sent to the Contractor. The date shall be noted therein and a copy of the same shall be forwarded to the contractor. Said date shall be considered as the contract's commencement date.

Termination of the Contract

1. The Contractor shall perform the contract in accordance with its terms and conditions, otherwise he shall be subject to the penalties provided for in the contract and in this manual.
2. In case of fraud, manipulation or bribery by the contractor, the university shall have the right to cancel the contract, seize the performance bond and perform the contract at the contractor's expense, still reserving its right to compensation.
3. In the case of the contractor's bankruptcy or insolvency, the university shall have the right to cancel the contract, seize the performance bond and reserve its right to compensation.

4. In the case of the contractor's death, the university shall have the right to cancel the contract and return the performance bond or allow the contractor's successors to continue performing the contract.
5. Should the contractor submits documents proving that the delay in the performance of the contract was a result of force majeure or circumstances caused by the university, the resulting default shall be overlooked - an issue left to the discretion of the Contract Administrator.

Amendment of the Contract

Any amendment to the contract regarding quantities, specifications or otherwise shall be done under a Variation Order with the consent of both parties to the contract and the approval by the person authorized to take such action under the university's delegation of authority system and the manual herein.

Advance Payments

The contract may include a provision allowing advance payments to the contractor within the limits and in accordance with the conditions set by the contract. However, under all circumstances, payments shall be made against a bank bond of equivalent value and in the same currency. Such matter, however, shall be within a minimal limit.

Contract Performance Delay and Penalty

1. Should the contractor fail to perform the contract within the specified period, the provisions hereof and other applicable laws in this regard shall apply.
2. Should the supplier fail to deliver all required quantities or the contractor fail to perform the works or part thereof by the dates specified in the contract (including rejected materials and works or materials which have not been supplied) the university shall have the right to take one of the following actions:
    a. Granting the supplier or contractor an additional time grace if the same is deemed in the best interest of the university. However, this shall be subject to the approval of the Procurement Committee and shall be applicable to contracts and purchase orders of a value exceeding AED 250,000 (Two hundred and fifty thousand dirhams).
    b. Purchasing the materials or performing the works at the expense of the supplier and contractor. In this case, the supplier and contractor shall bear the burden of any price increase or incurred administrative expenses at a rate of 10% of the value of the materials or works which the supplier or contractor have failed to supply or perform after the lapse of the grace period.
    c. Terminating the contract, seizing the performance bond and claiming due compensation without prejudice to the university's right to impose the delay penalty provided for herein.
3. Ministries, public agencies, corporations, and other government bodies shall be exempted from the application of the provisions of this article.

4. The contractor shall complete all the contracted works in accordance with the terms and conditions provided for in the contract and within the specified timeframe.
5. The Procurement Committee, may upon request from the contractor, relieve him of the delay penalty if supporting documents has proved that the delay was a result of force majeure beyond the contactor's control. However, the contractor shall submit a request to the University for extending the contract performance period. The request shall be submitted within fifteen days from the date of the incidence leading to the delay and shall include an explanation of the reasons causing the delay.

Provisional and Final Receipt of Works (Projects)

1. The provisional receipt of works shall be carried out by a committee called "Receipt Committee" which is formed under a decision by the Vice-Chancellor or his delegate. The Committee shall have five employees in its membership, including the chairman. Receipt of works shall be attended by the consultant (if available) and the Contract Administrator to ensure that the contractor has completed the works in accordance with the terms and conditions of the contract.
2. The committee shall write a report of receipt from the contractor, which shall acknowledge full provisional receipt if all the terms and conditions of the contract and its attachments have been met. Otherwise, treat it as a qualified receipt if the Committee demands the completion of some limited aspects of the project within a certain period of time specified by the Committee.
3. A final certificate of works completion shall be issued at the end of the guarantee and maintenance period. Under said certificate, the Contractor shall receive the value of the warranty held by the university.

Responsibilities of Receipt Committee

1. The Committee shall receive the materials and services related to the purchase orders whose value exceeds AED 250,000 (Two hundred and fifty thousand dirhams)
2. The Committee shall inspect and receive the materials after ensuring that they comply with the required technical specifications.
3. The Committee shall meet within three working days at the maximum as of the date the Committee was notified by the warehouses of the provisional receipt.

Electronic Purchase Methods

1. Electronic purchases are subject to the same rules and procedures provided for herein, with the following matters being observed:
2. All tenders and direct orders transactions shall be conducted electronically through the [university] portal, unless the same is not possible for technical reasons related to the unavailability of appropriate information technology systems.
3. Public tenders' notices shall be made on paper-based media outlets such as newspapers and magazines while simultaneously being advertised via electronic means.

4. No cash payments shall be made against the electronic tender documents.

Stock

Stock Items

1. Materials shall be classified as stock items at the discretion of the Procurement Office.
2. The “stock items” shall be entered in the registers of warehouses and accounting books as “custody” items when they are purchased. Their value shall only be charged to their appropriate expenditure category when they are issued for use and consumption purposes.

Non-Stock Items

1. Non-Stock items shall not be added to the custody of warehouses or included in their inventory records.
2. The value of non-stock items shall be charged to their appropriate expenditure category immediately after their receipt.

Disposal Items

1. “Disposal Items” shall be kept in a separate place in the warehouses until they are disposed of. Meanwhile, they shall be under the supervision of storekeepers.
2. “Disposal Items” shall be recorded in special registers independent of the warehouses inventory and accounting records.

Materials Coding

The Procurement and Warehouse Office shall set up a central coding system and a specifications guide for all stock purchases.

Stocking Policies and Provisions

1. The Financial Office shall keep accounting books to monitor the value of stock. The books shall be matched on a monthly basis with the data on the warehouse system.
2. The Procurement and Warehouses Office shall specify a minimum stock limit, a maximum stock limit and a reorder limit for each of the stock items. These limits shall be noted in the warehouses records.

Storekeepers and their Duties

1. A storekeeper for each warehouse shall be appointed as per the university organizational structure. A storekeeper may have one or more assistants who may take his place in his absence.
2. Storekeepers are personally responsible for items under their custody. They shall safeguard and take care of these items, be aware of their weight, quantity, type and measurements, as well as all that might expose them to damage or loss. They shall only be discharged of responsibility for

damage or loss if there is evidence available to the university proving that the damage or loss was unavoidable and that it was a result of circumstances beyond the storekeepers' control.

3. In the case of the storekeeper's termination of service or absence for whatever reason, a stock taking shall be carried out and a replacement shall be appointed and assigned the duties of the storekeeper.
4. Storekeepers shall submit periodic lists every three months to the Procurement and Warehouses manager so that he can take the necessary action regarding the following:
    - **a.** Surplus items.
    - **b.** No longer needed items.
    - **c.** Obsolete items.
    - **d.** Unusable items.
    - **e.** Items exposed to damage.
    - **f.** Items which have limited expiry date.

Rarely Needed, Stagnant and Surplus Items

The items which are not requested or issued as reflected in the warehouses' inventory records for twenty-four solid consecutive months shall be written off and turned into disposal items to be auctioned out or sold in any other method consistent with the applicable regulations.

Receiving, Stocking, and Issuing Stock Items

1. The storekeeper shall receive the "Stock Items" and inspect them to ensure that they match purchase orders in term of quantities and specifications. Should the materials inspection need special technical expertise, the storekeeper shall seek assistance from an employee with expert knowledge on the received items.
2. The items whose value exceeds AED250,000 (two hundred and fifty thousand dirhams) shall be received by the Receipt Committee and the storekeeper.
3. A paper receipt voucher for the actually received quantities which meet the specifications shall be issued and signed by the storekeeper and the Receipt Committee chairman in the cases that so require.
4. Items which do not comply with the specifications or in excess of the required quantity specified in the purchase order shall be kept in a special place as a first step of a process to return or replace them as the case may be. The supplier shall be notified of the same in writing by the Procurement Office. The Financial Office shall also be notified thereof.
5. Stock Items shall be issued to user colleges and administrative units in electronic vouchers. The Issued items shall be priced according to the approved accounting policy. The Value of the issued items shall then be included under the relevant expenditure category and the quantity and value shall be deducted from the warehouse stock and accounting records.
6. The items issued but later returned to the warehouses shall be recorded in an electronic or paper voucher. Their value shall be deducted from the same relevant expenditure category under which they were deducted upon issuance. The quantity of the returned items shall then be added to the warehouses' custody and their value recorded in the warehouses 'accounting books.

7. The storekeepers shall see to it that the used items are stored in a place other than the place where the new items are stored. They shall also make sure that the flammable materials are stocked in special warehouses that observe their nature.

Comprehensive Annual Stocktaking

1. A comprehensive stocktaking of all contents of the warehouses shall be conducted at least once a year without prejudice to the perpetual surprise stocktaking system applicable in the course of the year.
2. The comprehensive annual stocktaking shall start on 15th August of each year and be completed before the end of August.
3. Committees for annual stocktaking shall be set up under a decision by the Vice-Chancellor or his delegate.
4. In forming stocktaking committees, it shall be observed that the Financial Office and the Internal Audit Office are represented. The stocktaking shall be carried out in the presence of a storekeeper.
5. Stocktaking committees shall prepare lists of counted items showing the actual balances of items and matching them with balances on the warehouses records, taking note of any possible surplus or shortage. If there is surplus or shortage, it shall be noted in the stocktaking lists.
6. The stocktaking lists shall be prepared according to the form developed by the Financial Office for that purpose.
7. A copy of the stocktaking lists shall be forwarded to the Internal Audit Office for their opinion. In case of spotting a financial or administrative breach, the matter shall be referred to the Vice-Chancellor or his authorized delegate to take the necessary disciplinary action against the breacher in accordance with the applicable law.
8. The Procurement and Warehouses Office shall settle the stocktaking inconsistencies by making additions or deductions after receiving the verdict of the Vice- Chancellor or his authorized delegate.

Partial, Surprise Stocktaking

1. The internal audit office shall conduct a surprise partial stocktaking as part of the perpetual stocktaking program.
2. In case of finding a shortage or a surplus, the internal audit office shall investigate the reason behind the shortage and report the findings to the Vice-Chancellor or a delegate authorized by him to look into the matter.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial policy	University Central Committee
V 2.0	26/02/2017	New Policy – Comprehensive regulatory method for purchasing, procurement, contracting and inventory	Procurement Manager

Auxiliary Enterprise Policy

Policy Owner	Finance Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	May. 2020

Purpose

The purpose of the University Auxiliary Enterprises Policy is to ensure compliance with AU's policy regarding business activities and to exercise the required control and supervision on the University campus.

The policy shall apply to all campus personnel, faculty, staff, student organizations and visitors, and to all facilities, including all buildings, land and open spaces, and to any person, organization, or business desirous of using campus facilities.

Definitions

- **Auxiliary Enterprises** are business enterprises or other support activities (as distinguished from primary programs of instruction, research, and public service) operated on a self-supporting basis, the primary purpose of which is to provide specified services to the campus community.
- **Self-Supporting** means that revenues received (fees for services, sales, dedicated general fees, contributions, and investment income) should cover the direct and indirect operating expenses, assignable indirect costs, debt services and capital expenditures.
- **Campus Community** as used in this policy refers to faculty, staff, and students.

Statement

- The director of the University Facilities and Services Office has the responsibility to control, manage and supervise all business activities on the campus.
- The University Facilities and Services Office, under the auspices of the Office of the Chief Operating Officer, shall be the only body empowered to conduct business activity on the University's campus.
- Business activity shall include any undertaking of an individual or group, which encompasses the production, sale, distribution, by sale or gifts, of products or services. The sale and distribution of products and services includes any method of marketing by way of direct selling or indirect selling, including the use of posters, flyers, handouts, or other promotional literature. Such activities shall be subject to the provisions of this policy.
- Distribution of non-commercial written material such as pamphlets, handbills, circulars, newspapers, magazines and other materials may be given away or sold on a person-to-person basis in open areas outside of buildings and other closed structures on the campus, except as follows. No stand, table or booth shall be used in distribution except upon permission of the appropriate

authority. Distribution shall be made from a designated location and sales person are not allowed to walk around campus distributing written material.

- There shall be no advertisement or other public statement in which AU's name is used in connection with any non-university organization, business, or person in any manner or medium that implies that the University supports, approves, or endorses any product, service, interest, position, or ideology of that organization, business, or person.

Support Role of Auxiliary Enterprises

Auxiliary enterprises are operated as essential elements in support of the mission of the university. They are to provide quality products and/or service at the lowest practical price.

Designated Auxiliary Enterprises

The following are designated auxiliary enterprises:

- Building Maintenance, Security, Cleaning services, Parking and Transportation Services, Residence Halls, University Catering Services, Printing and Photocopying Services, etc.

Management

- The university will provide administrative, accounting and financial oversight to auxiliary enterprises through the office of the COO, Student Affairs Deanship, Administrative Department and University Health Services as applicable.
- AU warrants that the use of the Leased Premises by the Lessee will not violate any restrictions, reservations, or laws in relation to the Leased Premises.
- Water and electricity shall be provided by AU.
- AU shall not be responsible for business losses that might occur due to electricity or water shortage due to blackouts, force majeure, inclement weather, or other occurrences that are beyond the reasonable control of AU.
- The enterprises must make sure that the rented Premises and all other products served by AU be prepared, held, and handled in a safe and sanitary manner in accordance with the hygienic standards of the Ministry of Health in the United Arab Emirates (MOH). Food items must be pre-packed, or if prepared on-site must be supervised by a qualified food service professional. Local health codes must be followed. No tobacco, alcohol or pork products will be permitted.
- Enterprises must permit AU staff to enter the Leased Premises at any time outside normal business hours in case of an emergency or otherwise during normal business hours. Such arrangement will not unreasonably disturb or interfere with the enterprises' use of the Leased Premises or operation of its business. It will help to examine, inspect and show the Leased Premises for purposes of leasing, sale or financing, to provide services or make repairs, replacements, changes or alterations as provided for in this Lease and to take such steps as AU may deem necessary for the safety, improvement or preservation of the Leased Premises.
- Enterprises must maintain the Leased Premises and all improvements therein in good order and condition. Keep the leased Premises in a clean condition and remove from the leased Premises at its expense all food waste (floor and tables) and garbage.

- Enterprises must not use the Leased Premises for any other purpose other than the business agreed upon with AU.
- Enterprises must ensure that an appropriate security arrangement for the Leased Premises are in place at all times.
- Enterprises are required not to do anything in or outside the Leased Premises that might cause nuisance, damage or annoyance to AU or any person.
- Enterprises must comply with any reasonable request from AU for the delivery of information, data or such other documentation relating to the operation of the business.
- Enterprises should not keep, in Leased Premises without the permission from AU, any hazardous substances, articles, chemicals or anything that may be in nature challenging to the human life.
- Enterprises may from time to time at their own expenses, make changes, additions and improvements to the Leased Premises to better adapt the same to their businesses. However, any change, addition or improvement shall only be made after obtaining written consent from AU, and shall be carried out in a good and competent manner and only by persons selected by the enterprises and reasonably approved in writing by AU.
- Enterprises shall pay promptly when due all costs for work done or caused to be done which could result in any lien or encumbrance on AU's interest in the property, shall keep the title to property and every part thereof free and clear of any lien or encumbrance.
- If during the Term the Leased Premises or any part thereof is be damaged by fire, lightning, tempest, structural defects or force majeure or by any additional perils from time to time defined and covered in the standard broad-coverage fire insurance policy carried by AU on the Leased Premises, the following provisions shall apply:
    a) If, as a result of such damage the Leased Premises are rendered partially unfit for occupancy, the Rent shall abate in the proportion that the part of the Leased Premises rendered unfit for occupancy by enterprises is of the whole of the Leased Premises. If the Leased Premises are rendered unfit for occupancy by the enterprises, the Rent shall be suspended until the Leased Premises have been rebuilt and repaired or restored.
    b) Notwithstanding, subsection (a) above, if in the opinion of AU's architect or engineer given within 30 business days of the damage occurrence, the Leased Premises shall be impossible to rebuilt, repaired, or restored with reasonable diligence within 60 days after the occurrence of the damage; consequently, either AU or the enterprises may, at their choice, terminate this Lease by notice in writing given to the other party within 15 days of the AU's architect or engineer opinion. If notice is given by AU or the enterprises under this Section, then this Lease shall be terminated from the date of such damage and the enterprises shall immediately surrender the Leased Premises and all interest therein to AU. The Rent shall be apportioned and shall be payable by the enterprise only to the date of the damage and AU may thereafter re-enter and repossess the Leased Premises.
    c) If the Leased Premises are capable with reasonable diligence of being rebuilt, repaired or restored within 60 days of the occurrence of such damage, then AU shall proceed to rebuild, restore or repair the Leased Premises with reasonable promptness within 60 days. Any additional period due to delay caused by lock-outs, slow-downs, shortages of material or

labor, force majeure, inclement weather or other occurrences which are beyond the reasonable control of AU; and the Rent shall abate in the manner provided for in subsection (a) above until the Leased Premises have been rebuilt, repaired or restored. Provided that nothing in this Section shall in any way be deemed to affect the obligation of the enterprise to repair, maintain, replace or rebuild the Leased Premises as otherwise provided for by the terms of the Lease.

- All prices applied by the enterprises should be submitted to AU for approval to meet the University standards to the provision of student service. Upon the acceptance between both parties on all price lists, no alterations or changes shall be permitted without the prior consent of AU. Proposal for price changes can be submitted upon contract renewal in written to AU for approval.

Charges for Goods and Services

- Selling prices, rents, fees and other charges by auxiliaries are to be set at a level adequate to support the operating and reserve requirements.

Charges for University Services Provided to Auxiliary Enterprises

- Auxiliary enterprises are expected to pay their appropriate share of costs for physical facilities and other directly chargeable support costs related to their operation. In addition, auxiliary enterprises shall pay an appropriate share of other administrative support costs of the university. Such charges shall be determined each year in accordance with a formula.
- Account Requirements: Each auxiliary enterprise shall use accounting systems applicable to the type of enterprise operated. Appropriate information shall be available in and adapted to the University financial accounting system.
- The enterprises shall pay to the University, during each Gregorian calendar year of the Term, as rent for the Leased Premises the ---------- AED (the "Minimum Rent") for both male and female sections, described as ---------- AED for the Male section and ---------- AED for the Female section in which the payment method will be as follows:

Sequence	Amount	Due Date
First Payment	AED	--/--/20--
Second Payment	AED	--/--/20--

- Divided into three payments per year on the basis of 30%, 30% and 40% were (…….AED) is paid in advance upon signing the contract and the rest of the amount is paid accordingly after 4 months of signing the contract.
- All amounts payable by the enterprises to the University pursuant to the Lease, shall be deemed to be rent and shall be payable and recoverable as Rent in the manner herein provided.

Reporting Requirements

- Annually, a report shall be prepared for each auxiliary enterprise in a format provided by the COO. The report shall be submitted to the COO, who shall advise the Board of Trustees of operational problems indicated by the report.
- The Finance Manager shall coordinate the submission of the reports.
- In connection with the annual University budget process, a report shall be prepared by each auxiliary enterprise describing its operation for the fiscal year then being concluded and evaluating how well the auxiliary enterprise serves the needs of its users.

Advertising

- The University Advertising Policy shall apply to all non-university entities and/or commercial businesses, which desire to place advertising on the University campus. Nothing herein shall prohibit University departments from advertising and promoting their own services or programs on the University campus.
- In general, commercial businesses and all non-institutional entities are prohibited from indiscriminately advertising on the campus. Flyers, poster, etc. promoting business establishments containing advertising are banned. The prohibition also includes the placement on campus of non-university publications, which contain advertising.
- Advertising of a private enterprise on campus is permitted only in approved campus publications, newspapers, magazines, etc.

Advertising may appear in the following campus media:

- Advertising related to sports and cultural events
- Promotional material related to auxiliary service units and their products
- Other official publications of the University.

Sales

University Facilities and Services Office shall be the only body empowered to conduct sales activity on the campus.

❖ **Procedures for Commercially Sponsored Businesses at AU**

- Individuals or businesses wishing to do business must contact the University Services Department to be approved in advance.
- Commercial activities will be subject to space availability and must adhere to University System of guidelines and policies.
- The Director of the University Facilities and Services Office will grant or deny permission upon confirmation of the availability of appropriate sales space.
- A fee of Dhs----- per day payable to AU is required. This fee shall be paid in installment to the Office of Finance.
- Sales or advertisements in direct competition with AU's services, activities and operations of the University are prohibited.

- Vendors must be prepared to provide their own table(s), chair(s), and extension cords to display their products. At its sole option, the University may provide limited assistance.
- Distribution or sale of newspapers shall not be made in buildings or closed areas on campus except as provided for by this regulation.

❖ **Procedures for University Sponsored Activities**

a) **Sports**:

- The University Facilities and Services Office reserves the right to manage all food, beverage and other goods at all sports and cultural events held on campus. The department may delegate this responsibility to other departments on a case-by-case basis.

b) **Student organizations:**

- Sales by student societies must be conducted totally by a recognized student society. Co-sponsoring with a non-university group is prohibited.
- The student society must contact the Student Affairs Deanship to request authorization for a sale.
- Student societies are required to adhere to all Student Activities' policies regarding sales and fund raising. Funds raised must be deposited to and accounted for through the student society's account.

c) Academic and administrative departments

- Academic offices, units or programs may also have limited authority to conduct sales in conjunction with educational activities. Revenue and expenditures associated within academic departments and unit's educational courses, which involve, as part of the educational experience, the sponsorship of activities and the production and sale of a product on a limited basis shall be accounted for through the Office of Finance.

Solicitation

- Solicitation shall include any undertaking of an individual or group which attempts to promote the sale or use of a particular product or service. Specifically, this policy addresses the following:
  - Soliciting on campus (door to door or office to office) is expressly prohibited.
  - There shall be no soliciting of funds, prizes, or awards for scholarships, loans, grants, equipment, supplies, or other purposes unless it is approved by and in cooperation with the Office of the COO and/or others expressly authorized by the Chancellor.
  - Solicitation in or on all campus facilities (buildings and grounds) by private individuals, faculty, staff, or non-resident students is prohibited.
  - Personal solicitation through campus e-mail list is prohibited.

❖ **Procedures for Student Sponsored Solicitation**

- Solicitations by a Student Society is permitted but must be conducted totally by a recognized student group. Co-sponsoring with a non-university group is prohibited.
- Student societies must contact the Student Affairs Deanships to request authorization for a solicitation event.
- Student societies are required to adhere to all Student Activities' policies regarding sales and fund raising.

❖ **Procedures for Alumni and Development**

- The office of Alumni must follow the solicitation policy governing any other administrative unit on campus.

The University reserves the right to accept or reject any or all sponsorship activities.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.1	24/10/2011	Policy reread - added procedure for Student sponsored solicitation (student right to sale)	Financial Controller
V 1.2	16/07/2017	Minor change –advertising	Chief Operating Officer

External Audit Policy

Policy Owner**(s)**	Finance Manager Internal Audit Manager	Responsible Office	Office of Finance
Approved By	Chief Operating Officer	Effective Date	Jul. 2017
		Next Review Date	Jun. 2020

Purpose

The purpose of this policy is to ensure that external audit independence is maintained and viewed as being highly reliable, as well as to outline procedures for Ajman University (AU) personnel and external auditors in the examination of the University financial operations.

Statement

The importance of the policy is in its objectivity and in focusing on the efficiency of the operations, effectiveness of the procedures, accuracy of the financial information presented, as well as compliance with applicable laws and regulations. The objectives of the auditor is, to obtain reasonable assurance that the financial statements as a whole are free from material misstatements whether due to fraud or error, thereby enabling the auditor to establish an opinion on whether the financial statement are prepared, in all material respects, in accordance with applicable reporting framework.

Definitions

- **Audit**: Independent and objective appraisal to examine or review the fair presentation of the financial statement.
- **External Audit**: Independent and objective appraisal performed by an external audit entity.
- **External Auditor**: Professional auditor not employed by AU, and may represent a certified public accounting firm.

Objective

Ajman University (AU) will fully cooperate with and assist external auditors whose responsibilities involve examination and confirmation of the University transactions. On a timely basis, AU will provide external auditors with access to all records that are relevant to the audit process, except those deemed by AU to be legally privileged or protected.

All external audit activity will be properly authorized; effectively and consistently tracked and communicated. This policy applies to all audits and reviews performed by external auditors for all University entities.

Approval of External Auditors

The External Audit firm shall be approved by The General Assembly based on the Board of Directors' recommendations and in arriving at this decision; the Board shall consider a number of factors:

- The professional reputation of the Audit firm.
- The ability of the Audit firm to perform in accordance with generally accepted auditing standards.
- Depth of qualifications and experience of the engagement team members.
- Quality of audit services, and the level of fees.

Notification and Procedure

The audit process will normally consist of the following phases:

Notices

It is required that the Audit firm notifies AU of proposed audits in advance. The Finance Manager will receive a letter or some type of communication from the Audit firm informing of an upcoming audit, review, site visit. The notice should indicate the scope and purpose of the audit and the dates of when the work will be undertaken. The COO as well as the Senior Audit Manager should be notified immediately upon receipt of such a request.

Audit Visits

The objectives of an audit visit are to establish the purpose, scope and timing of the audit, the information required by the external auditors, and the physical facilities needed. This opening meeting shall include management and administrative staff involved in the audit and will facilitate full communication.

This will facilitate the auditor in planning, and to ensure that appropriate attention is given to important areas of audit, identify potential problems on timely basis, organize and manage the engagement properly, assist in the selection of team members, assist in the coordination of work done.

In case any department is contacted directly by an external auditor without prior notification of the proposed audit from the Finance Manager, that department will notify immediately AU management.

Fieldwork

From the audit commencement to its conclusion it is important that the Finance Manger maintains contact with the external auditor; so as to facilitate the audit by ensuring that the auditor receives the right information and correct any erroneous information which may have been given inadvertently.

At the request of the external auditor, the Finance Manager will arrange interviews, secure required documents, answer questions, and supplement interviewee statements.

The External Auditor will review procedure manuals and business processes, tests compliance, and assesses the adequacy of internal controls.

The External Auditors will be instructed to direct all audit findings that require a formal response to the Finance Manager.

A working file of each audit containing all audit reports, responses, and related correspondence will be prepared by the Office of Internal Audit and will be maintained in a central file that will be subject to AU records retention guidelines.

Exit Audit Visit

In the Exit Audit Visit the External Auditor will inform AU Management of the audit findings, clarify possible misunderstandings, and identify any issues that are unresolved. The External Auditor may submit a draft report, of the audit findings and request a scheduled response.

Upon receipt from the external auditor of the draft report, the Finance Manger will distribute copies of the draft report to the concerned Offices and coordinate the management responses. If required, date postponement will be coordinated with the external auditor.

The COO will review and approve all responses to draft audit report prior to submission to the External Audit Firm.

Final Audit Report

After obtaining the responses to the draft report based on the Exit Audit Visit meeting, the External Auditor issues a final report to the COO; whom in turn will distribute copies to the General Assembly.

Other copies will be sent as appropriate to concerned AU offices.

Corrective Actions

A corrective action plan is required for all audits that contain findings and recommendations. Every effort should be made to implement recommendations within six months of the issue date of the report.

Responsibility/Authority

Finance Manager

- Monitors external audit activity.
- Arranges a formal audit visit for all appropriate campus representatives to clarify the scope of the audit, expected audit procedures, and necessary records and information.
- Resolves questions and provide guidance.
- Informs campus management if serious issues arise that requires immediate attention.
- Arranges an exit audit visit, and discuss findings and recommendations.
- Distributes copies of the draft audit report to the concerned offices for written management responses.

Internal Audit Manager

- Assists the Finance Manager with coordination of external audit activities.
- Follows up the implementation of audit recommendations.

Office Managers / Supervisors

- Coordinates requests for specific information or interviews with employees.
- Forwards all draft and final audit responses to the Finance Manager for review.
- Implements agreed-upon audit recommendations.

University Employees

- Be courteous, cooperative, and professional when dealing with the auditors.
- Assist the auditors with specific requests and answer only the questions asked by the auditors.
- Refrain from providing irrelevant, unrequested information.
- Notify the Finance Manager if an auditor's work appears to be beyond the defined scope of the audit.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial Policy	University Central Committee
V 1.2	16/07/2017	Minor change –added clause for audit visit	Chief Operating Officer

I. Public Disclosure and Integrity

جامعة عجمان
AJMAN UNIVERSITY

Transparency and Institutional Integrity Policy Statement

Ajman University is committed and advocates transparency and institutional integrity in its day-to-day affairs and decisions when dealing with faculty, staff, students, external establishments, and the community at large. This commitment reinforces and forms the foundations of the University's approach to the provision of an environment of quality teaching and learning, as well as strengthens trust and confidence in the institution. To foster transparency and integrity, Ajman University has policies and procedures clearly in place to ensure that members of its community abide by legal and ethical standards in line with applicable rules and regulations. These policies and procedures shall form the guiding principles upon which the University shall rely to function with transparency and integrity in its financial, academic, and personal affairs, by promoting honesty, ethical code of conduct, disclosure and accessibility of information, responsibility, fairness, and respect.

Intellectual Property Policy

Policy Owner(s)	Legal Advisor	Responsible Office	Legal Office
Approved By	Chancellor	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

Purpose

This policy provides guidance for faculty (academic and general) and students (undergraduate and graduate) on the practices of Ajman University (AU) with respect to Intellectual Property. Matters considered include the nature of Intellectual Property, its ownership, exploitation and the specific procedures adopted within the University.

Statement

The goal of AU's research is to inform and improve its teaching and produce outcomes of benefit to the UAE and the world. Intellectual property generated by AU researchers should be used to maximize the flow of benefits to society, particularly the UAE, and to enhance the reputation of the University and encourage and assist faculty in their careers.

The University is committed to providing an environment where scholarship and innovation can flourish and those participating can be justly rewarded for their efforts. At the same time, recognizing that certain Intellectual Property is developed as a result of the environment provided by the University and that special relationships exist between the University and its faculty and students, the University wishes, where appropriate, to gain benefit from the activity, with the benefits flowing on to future generations of faculty and students.

In developing the present policy, which draws on past practice, the University has been guided by Intellectual Property policies elsewhere and by statements provided by stakeholders, including the World Intellectual Property Organization.

The University reserves the right to modify or add to this policy at any time, provided that such change will only apply to works, inventions and other subject-matter in which Intellectual Property Rights subsist that come into being after the effective date of the change.

Interpretation

In this Policy:

- Course Materials means all materials produced in the course of or for use in teaching in any form (including digital, print, video and visual material) and all Intellectual Property in such materials and will include lectures, lecture notes and material, syllabi, study guides, assessment materials, images, multi-media presentations, web content and course software.

- Exceptional University Resources means resources of the University which, for the avoidance of doubt, includes facilities, funds, services, equipment, paid leave, faculty time and support faculty in excess of those normally used or available to faculty for producing Course Materials.
- Intellectual Property means all statutory and other proprietary rights (including rights to require information be kept confidential) in respect of inventions, copyright, trademarks, designs, patents, plant breeder's rights, circuit layouts, procedures, trade secrets and all other rights as defined by the UAE laws.
- Specifically Commissioned means where particular consideration (which includes, but is not limited to, financial consideration or relief from teaching or other duties) is provided or offered by the University by agreement.

Intellectual Property Ownership

Ownership by the University of Intellectual Property

Except as otherwise agreed in writing by an authorized officer of the University, or stated in this Policy, the University asserts legal and beneficial ownership of Intellectual Property:

a. Created by academic or general faculty in the course of their employment by the University.

b. Created by students of the University where:
   - Generation of the Intellectual Property has required use of University resources.
   - Generation of the Intellectual Property has resulted from the use of pre-existing Intellectual Property owned by the University.
   - The Intellectual Property belongs to a set of Intellectual Property generated by a team of which the student is a member.
   - The Intellectual Property has been generated as a result of funding provided by or obtained by the University.

c. Created by Visitors, Adjunct or Conjoint appointees where:
   - Generation of the Intellectual Property has required use of University resources.
   - Generation of the Intellectual Property has resulted from the use of pre-existing Intellectual Property owned by the University.
   - The Intellectual Property belongs to a set of Intellectual Property generated by a team of which this person is a member and other members are University employees.
   - The Intellectual Property has been generated as a result of funding provided by or obtained by the University.

In the absence of any written agreement to the contrary, Visitors, Adjunct and Conjoint appointees who create Intellectual Property falling under this clause will be treated as academic faculty for the purposes of this Policy.

Ownership of Course Materials and scholarly works not specifically commissioned or created with use of Exceptional University Resources

The University does not assert its right to ownership of any Intellectual Property in scholarly books, articles, Course Materials, or other scholarly works or subject matter generated (whether in written or any other form) by faculty or students, other than:

- Where Specifically Commissioned by the University.
- Where produced with the assistance of Exceptional University Resources.

The faculty member grants to the University a non-exclusive right to use such Course Materials, works or subject matter generated by that faculty member for the University's teaching purposes should the faculty member leave the University.

Ownership of Course Materials Specifically Commissioned

The University asserts legal and beneficial ownership of all Course Materials, which are Specifically Commissioned. The University may, at its discretion, give the creator(s) of Specifically Commissioned Course Materials a non-exclusive license to use the Course Materials for teaching purposes only provided that such a license will not extend to use of the Course Materials for a course in direct competition with a course of the University.

Where the University does not commercialize commissioned Course Materials the creator may request assignment of the rights to the creator for commercialization by that individual (or team) subject to agreement including a non-exclusive license to the University for educational purposes.

Ownership of Course Materials created with the use of Exceptional University Resources

Where Course Materials are or may be created in whole or in part with the use of Exceptional University Resources, a written agreement should be developed between the faculty member and the University as soon as practicable. The agreement should specify ownership of the Intellectual Property in the Course Materials and rights to revenue in the event of any commercialization of the Course Materials and any Intellectual Property generated from the production of the Course Materials.

In the absence of a written agreement, the University will own the Course Materials, but the faculty member(s) who provided content for the Course Materials will be entitled to compensation in case of commercialization.

Ownership of creative works

The University does not assert any right or claim to ownership of the Intellectual Property in artistic or other creative works created or composed by its faculty or students, except where these works have been Specifically Commissioned by the University, or are created in whole or in part with the use of Exceptional University Resources.

Assignments of Intellectual Property

The University and faculty members will execute, in a timely manner, all assignments of Intellectual Property necessary to give effect to the ownership provisions set out above and to allow for the use and commercialization of the Intellectual Property by the University in accordance with this Policy.

Effect of this Policy on existing arrangements

Despite any contrary provision in this Policy, all contracts and arrangements existing at the time of the adoption of this Policy between the University and governments, corporations or other external

organizations, which relate to Intellectual Property and in which the University has an interest; will remain in full force and effect, including those where the ownership of developed Intellectual Property is vested in a third party.

Assignment of ownership by the University

The University reserves its right to transfer the ownership of its Intellectual Property to third parties in accordance with this Policy, or otherwise, where practicable, following consultations with the creator(s) of the Intellectual Property.

Dealings by faculty members or students

Except where expressly permitted under this Policy no faculty member or student may apply for his/her own name, assign, license or otherwise deal with Intellectual Property, which is the property of the University without the written consent of the University.

Students

Conditions applicable to students

Where students are involved in activities that could lead to the development of Intellectual Property over which the University or a third party may claim ownership, the following conditions will apply:

- Participation in the research should not interfere with the assessment of the student's academic performance.
- The student's rights in Intellectual Property in any thesis or publications arising from the research should be protected.
- The student should receive considerations and returns commensurate with those provided for faculty, including a say as to the integrity of the Intellectual Property.
- The student's future career choices should not be closed by the choice to work in a confidential area of research.
- It should be made clear to students what the nature of the work is before they undertake the activity that leads to the claimable Intellectual Property.
- Any confidentiality and ownership of Intellectual Property agreement should only be signed by students after they have been first advised to obtain independent advice.
- Any delays in publication of the thesis that arise from a confidentiality agreement should be limited to a maximum of two years.

Student research at other Institutions

Where students of the University may be involved in research at institutions, which are affiliated, with the University or at institutions other than the University, agreement should be reached with that institution regarding the rights of the student to Intellectual Property with a view to ensuring that the student’s rights under this Policy are maintained as far as practicable.

Supervisors

Where reasonably practicable, supervisors electing to supervise a student in an area likely to lead to claimable Intellectual Property should ensure a confidentiality and Intellectual Property assignment agreement is completed with the student before the work is commenced.

Exploitation of Intellectual property Owned by The University

Completion of a Notification Form

Where a faculty member or student develops Intellectual Property over which the University claims ownership (excluding Intellectual Property referred to in Section 3.2 and 3.5), the faculty member or student must complete and return a confidential notification form (Notification of Intellectual Property Development) to be provided by the office of the Vice Chancellor for Academic Affairs.

Importance of non-disclosure for Intellectual Property Protection

In order for the University to comply with laws of Intellectual Property, faculty members and students should be conscious of the need to avoid premature disclosure of research results to third parties, prior to completing a notification and consideration of the need to obtain intellectual property protection that specifies the rights that will accrue to the faculty member or student and the University.

Sharing in the benefits of Commercialization

The faculty member or student whose creative work is commercialized will be compensated on a pre-agreed amount and will waive his rights to the creative work to the University.

Student creators of Intellectual Property will be treated equivalently to faculty members in determining their share of benefits flowing from the commercialization of Intellectual Property.

Commercialization with a Third Party

The University will consult with the creator of the Intellectual Property before determining the appropriate commercialization pathway to be taken. This may include the filing of patent applications, the identification of possible licensees or the formation of a limited liability company to exploit the Intellectual Property.

Moral Rights

The University recognizes the moral rights of the originators of Intellectual Property in accordance with the UAE copyright laws in force. These include the right of fair attribution of authorship or invention, the need for work not to be altered or used in such a way that it harms the reputation of the originator, and an opportunity for the originator to be involved in determining the final outcome of his/her labors.

The University will use its best endeavors to assist authors in asserting their moral rights in cases where clear breaches of accepted academic conventions occur.

Resolution of Disagreement over IP Ownership

In the event of a disagreement, the Research Ethics Committee will be the arbiter as to whether the University has a legitimate claim to Intellectual Property developed by faculty or students. Where a member of faculty or a student believes that he/she may have grounds to contest the University's claims to ownership of any Intellectual Property, they should bring the dispute to the attention of the Research Ethics Committee at the time that the development of the Intellectual Property is notified or as soon as practicable. Should he/she disagree with the decision of the Research Ethics Committee,

they may ask AU Vice Chancellor for Academic Affairs to refer the matter to an independent expert, who will be agreed upon by all the parties. The decision of this independent expert will be conducted according to all principles of procedural fairness, and shall be regarded as final and binding on all parties. The process of determining the ownership of Intellectual Property should be completed expeditiously and, except in unusual circumstances, within one month.

All matters associated with the resolution of Intellectual Property disputes under this Section will be held confidential.

Copyright Material

Faculty members and students of the University are required to follow the guidelines set out below when doing any of the following with copyrighted material:

- Photocopying
- Copying of computer programs
- Copying of sound recordings, films and broadcasts; and public performance of literary, dramatic or musical works, and playing sound recordings or films and videos in public.

Photocopying

Photocopying of copyright books, periodicals, journals, newspapers, artistic works, plays, scripts, graphs, directories and other literary, dramatic, music and artistic work is prohibited under the Copyright Law in UAE, except where:

- Copyright has run out.
- Copyright owner has given permission or license.
- A copy is made for purpose of research or study, but only of a 'reasonable portion' usually not more than 10%.
- Unpublished Dissertation/Thesis held in a library - required for research and study.

Copying of Computer Programs

The reproduction of computer programs is prohibited by the Copyright Law in UAE, except where:

- Copyright owner has given permission or a license to copy.
- Backup copy is made - but only for use as a backup - except where there is a notice on the program prohibiting making a backup copy and only by the person who purchased the original and within the terms of the license.
- It is also illegal to adapt a computer program.

Copying of Sound Recordings

Films and videos, the copying of a record, compact disc, tape recording, a film or video is prohibited by the Copyright Law, except where:

- Copyright has run out.
- Copyright owner has given permission or license to record.

- Recording a sound, film or video for the purposes of research and study, but only if 'fair dealing' rules are observed relating to only a 'reasonable portion' unless the record, disc, tape, film or video is unavailable for purchase at an ordinary commercial price.

Copying of Radio and Television Broadcasts

The copying of radio and television broadcasts is only permitted for the 'private and domestic use of the person by whom it is made'.

Performing Works or Playing Sound Recordings or Showing Films in Public

The acting out, recitation or performance of a literary, dramatic or musical work or causing a sound recording to be heard or a film to be shown in public is prohibited by the Copyright Law in UAE, except where:

- All the copyrights have expired.
- The copyright owner has licensed or permitted the work to be performed or the recording or film to be played or heard.
- The performance or playing is used for educational instruction.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial policy	University Research Council
V 2.0	03/09/2017	New Policy – sets clear ownership arrangement for all member of the University community	Legal Advisor

Publications Policy

Policy Owner	Marketing and Communication Manager	Responsible Office	Office of Marketing and Communication
Approved By	Vice Chancellor for Advancement and Communication	Effective Date	Sep. 2019
		Next Review Date	Jul. 2022

Purpose

The purpose of this policy is to ensure that the information produced by the University is consistent across all media and production processes, and most importantly to ensure quality and brand integrity for all printed materials that represent the University. This policy concerns all that is related to the updating, publishing, and archiving of University general publications, which entails catalogs, manuals, brochures, announcements, invitations, newsletters, advertising, and website content.

Statement

It is the policy of the University that all communications activities are the responsibility of the office of Marketing and Communications (OMC). These activities may include but are not limited to: print and digital publications, advertising, logo and brand identity, press releases, social media, and AU website. This will ensure that Ajman University communication activities are coordinated through one central office. No other party or person shall be authorized to issue or release any of these activities without the prior approval from the OMC in order to promote and protect AU brand.

Printing and publishing

All University published or reproduced material must be coordinated through the OMC. This entails publication or printing material used for internal or external distribution to provide information about the University or promote its programs, activities, and services. This includes, but not limited to: Periodicals, press articles, manuscripts, brochures, and booklets, which convey the University official statements of rules and regulations.

In addition, the OMC is the sole point of contact for printing University stationery items, such as letterhead, envelopes and business cards; office forms for internal use; and other printed materials. Changes to AU stationary format, or request for a special design, shall require the approval of the Vice-Chancellor for Advancement and Communication.

For all institutional documents such as Catalogs, Manuals, and Handbooks, the Office of Institutional Planning and Effectiveness (OIPE) is responsible to update the print versions as well as the material presented on the AU website. Prior to been published and made available in both print and electronic publications to students, faculty, and staff; institutional documents are reviewed periodically to ensure their validity and accuracy.

Advertising

All advertising that encompasses, television, newspapers, radio, magazines, flyers, and posters; must comply and be based on templates and formats made available by AU design team and pre-approved by the OMC. When dealing with external agencies the OMC has the authority to decline or terminate publications of material that does not comply or adhere to these templates and formats.

AU Web-Site

The University's official website is managed by the OMC, who shall be working with AU deans, department heads, office directors and managers, to create websites, design material and develop marketing strategies, for their respective units. The purpose of the AU website is to provide high-quality information about each college's mission, educational opportunities, services, academic programs, course content, events, and community offerings.

Social Media

AU recognizes the role of social media as a means to foster communication and the exchange of information with its community and the public. For this purpose AU authorizes its colleges, departments, and offices to only use its official social media accounts and staff members must not use AU social media accounts for their own personal benefit, nor shall they use their personal social media accounts to give the appearance of officially representing the University. Whenever social media is used, the following protocol should be observed:

- Conform to best practices and policy usage
- Clear transparency of position and role of staff at the University.
- Confidential or proprietary information about the University, students, employees, or alumni shall not be posted.
- The terms of service of any social media platform shall be observed.

Recruitment

Faculty and staff wishing to contact media for recruitment purposes, promotion of events and programs shall coordinate with the OMC. This policy is not intended to impede AU faculty and staff’s access to the press or freedom to make public statements.

AU Logos and Brand

AU logo is more than a graphic and tag-line alone, it is a concept that shapes and defines the University. To ensure consistency in the promotion of the Ajman University brand, no logo or symbol incorporating the name of the University, colleges or Units, can be developed without prior approval from the OMC to avoid errors and misrepresentation of institutional identity elements. The AU logo should appear on all print, video, and electronic media produced by AU offices or student services to promote AU.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	19/11/2018	Initial policy draft	Marketing Communication Manager
V 1.1	02/09/2019	Final Approved Policy	Vice Chancellor for Advancement and Communication

AU Fundraising Policy

Policy Owner	Development Director	Responsible Office	Office of Development
Approved By	Vice Chancellor for Advancement and Communication	Effective Date	Feb. 2018
		Next Review Date	Jul. 2021

Rationale:

Ajman University (AU) has identified fund diversification as one of its strategic priorities for the coming phase in the development of the University. The Fundraising Policy herein sets and defines the standards and guidelines upon which all fundraising activity within the University will be regulated and rated. It also identifies the most appropriate ways in which the generosity of donors can be recognized and celebrated.

Objectives:

This Policy sets out to guarantee that all AU fundraising activities are executed in an appropriate manner based on consultation with, and authorization from, the right AU constituencies. The Policy, as such, supports AU's mission and serves AU's strategic goals.

All cultivation, solicitation and appeal activities made by, or on behalf of, AU seek to enhance the status of the University with all its stakeholders (Alumni, students, staff, friends, corporate partners, etc.) who play an indispensable role in the mission of AU.

Core values:

- Transparency: all fundraising will adhere to a strict code of ethics that ensures full transparency of processes and activities.
- Innovation: fundraising activities will attempt to use innovative methods and processes whenever possible
- Resilience: the complexity and difficulty of fundraising are simultaneously embraced and circumvented through high resilience.
- Tenacity: our belief in the value of what we do will be an inexhaustible source of our determination to achieve our desired goals and meet our targets.

Authority and Responsibilities

The Chancellor

AU Chancellor is the principal fundraiser for the University.

Vice Chancellor for Advancement and Communication (VCAC)

The Office of the VCAC oversees and regulates all fundraising activities and functions as per the contents of this Policy and other relevant AU guidelines. All proposals and/or action plans for any fundraising drive/campaign/effort needs to be approved by the VCAC.

The Office of Development

The Office of Development is responsible for managing AU's fundraising activities and for building, fostering and maintaining the relationship with existing and prospective donors. The Office works in close association with the Offices of Alumni and Marketing and Communication to maintain a network corporate partners, students, alumni, friends, parents and other individuals or groups for the purpose of obtaining charitable gifts that would allow AU to accomplish its strategic goals.

Approaches for fundraising can only be made by authorized personnel in the Office of Development or by designated members of the Fundraising Council as per the processes and guidelines contained in this document.

The Office of Development issues guidelines that will govern the relationship between Office of Development staff and Deans/Managers, as required. Such guidelines include providing support in identifying fundraising projects that are aligned with AU strategic goals. The guidelines should clearly delineate the responsibilities of the Dean/Manager and the Office of Development staff member concerned in relation to fundraising priorities throughout the fundraising process, which generally follows/covers the steps below:

- Cultivation
- Solicitation
- Donor stewardship
- Major gift initiatives
- Campaigns
- Fundraising innovation

Fundraising Council

The AU Fundraising Council, which is made up of College representatives and steered by the Office of Development, is responsible for all AU fundraising campaigns and initiatives. The Council will hold regular meetings to strategize, action- plan and implement fundraising activities at University and College levels. It is also expected that the Fundraising Council organize an annual Fundraising Retreat prior to any formalization of strategies, action plans or large-scale fundraising drive.

Deans of AU Colleges/Managers of AU Offices (when applicable)

Deans, Directors and Managers are expected to cultivate strong relationships with various stakeholders and, therefore, their role in introducing potential donors to the Office of Development is crucial. It is not an expectation that Deans and other members of the AU management team make direct

approaches to donors. In fact, all fundraising activity should filter through the Office of Development or the Fundraising Council, as appropriate for each drive/initiative.

Members of the AU Management Team, to include Deans of College, can be requested to attend special meetings with the Fundraising Council.

Student Fundraising

AU students can engage in fundraising for a purpose after obtaining prior approval from the Office of Development or the (Fundraising Council). An application form (Appendix5) needs to be submitted and a decision will be communicated to the applicant(s) within 5 working days.

Thamer Fund

Thamer Fund may act as a suspense account for all monies raised through fundraising drives. Thamer Fund Committee overseas the allocation of funds based on careful consideration of cases submitted for evaluation.

Gift Policies and Procedures

AU will accept gifts of various kinds, solicited and unsolicited, and will aim to apply its core value of transparency in the solicitation, acceptance and handling of all gifts made to the University.

Fundraising Campaigns and Gift Solicitation

Fundraising campaigns, in line with AU strategic priorities, will be undertaken by the Office of Development, which has the authority to mobilize any other AU College/Office to assist at any stage within the campaign. Whilst the Office of Development can undertake planning and execution of major campaigns within its abilities and remits, it is an expectation that the Office of Marketing and Communication will be closely involved.

Major campaigns that align with AU strategic priorities require support from AU Cabinet and the Fundraising Council. These will require mobilization at the highest level, depending on the size of the campaign and on the fundraising target.

Gift solicitation is to be undertaken as per a general strategy developed by the Office of Development in consultation with the Fundraising Council and relevant stakeholders. It is incumbent upon all members of the AU community, including the Cabinet and Board of Trustees, to offer logistical, consultative and personal network support to the Office of Development in order to accurately assess potential donors, donation viability and to tailor solicitation approaches to the individual interests/aspirations/causes of prospective donors.

Gift Types

AU can accept gifts in any of the following forms:

- Cash Gifts: these are paid in cheques, bank transfers or using credit/debit cards.
- Gifts-in-kind: this can be in the form of property or land predominately; however, gifts of advanced and/or specialized equipment can also be accepted in return for certain privileges.
- Pledges: these are commitments to make a specified donation amount within a specified timeframe, not exceeding 5 years. Such commitments are legally binding and donors need to provide post-dated cheques (PDCs) to cover the pledge amount in total. Where a pledge is linked to a naming privilege, the pledge must be fulfilled[1] in order for the naming privilege to be granted.

[1] Submission of PDCs constitutes fulfilment of the pledge.

Gift Acceptance

AU will accept gifts in any of the forms above. Acceptance will be subject to a satisfactory outcome of searches on donors be these organizations, individuals, partners …etc. Gifts will be entered under the relevant codes and donors will be added to the relevant database in due course.

Gift Acknowledgement

AU will acknowledge gifts through the Office of Development, which, in the case of major gifts/donations, will be responsible for communicating with the Office of the Chancellor for appropriate recognition of such donations.

Gift Entry and Recording

Gifts will be entered and recorded as per the financial guidelines of the University.

Named Endowed Scholarships

A named endowed scholarship fund can be established and named after the donor, or in honor of any individual/group chosen by the donor, subject to a minimum gift of AED 1 Million (See Appendix 1). The amount will be invested as the University sees fit in order to generate an annual income that covers the required annual tuition fees for the named scholarship. The University undertakes to cover any shortfall that might result from currency fluctuations or from a reduced return on investment (ROI.)

The University will guarantee this scholarship for 25 years (subject to renewal). One student will benefit from the scholarship every 4-5 years (depending on the length of the undergraduate course studied).

Named Current Use Scholarships

A Named Current Use Scholarship Fund can be established with a minimum commitment of $5,000[2] per year for a period of 4-5 years (depending on the College that the scholarship is restricted to, if any). Unlike an endowed scholarship, these funds are renewable every 4-5 years, and spent in full

on the scholarship. Based on the amount donated, the named scholarship can be either a full scholarship or a percentage/partial scholarship offered to students on a restricted or non- restricted basis. Donors will need to fulfil their pledge before naming privileges are granted.

Scholarships can be named after the donor or any individual or group the donor wishes the scholarship to bear the name of. Scholarship funds can be in honor of living individuals or in memory of departed ones.

The University will guarantee this scholarship for its duration and will be subject for renewal by mutual agreement between the donor and the University (See Appendix 4). One student will benefit from the scholarship every 4-5 years.

[1] Circa AED 18,400 at the time of policy drafting (September 2017).

Named Endowed Professorships

A named endowed professorship fund can be established and named after the donor subject to a minimum gift of AED 5 Million (See Appendix 2) to be invested as the University sees fit in order to generate an annual income that covers the required annual cost of a full-time faculty member (in the College, discipline and sub-specialization specified by the donor, if any). The University undertakes to cover any shortfall that might result from currency fluctuations or from a reduced ROI.

Professorships can be named after the donor or any individual or group the donor wishes the professorship to bear the name of. Professorship funds can be in honor of living individuals or in memory of departed ones.

The University will guarantee this professorship for 25 years (subject to renewal).

Current Fund Major Gifts

Gifts of over AED 100,000 (See Appendix 3) are classed as “major gifts” and will be acknowledged as per the stipulations in 2.4 above. Where such gifts are not designated for a particular purpose, the amounts will be added to the AU Current Fund for disposal according to AU priorities and initiatives.

Major Gift Tickets at AU

The gifts below constitute major gifts. At present, AU will accept the amounts below or any multiples of the amounts below.

Annual Gifts/Planned (Deferred) Gifts

AU will accept annual and planned gifts, which will be added to the AU Annual Fund for disposal.

Donor Policies and Procedures

As per the AU values or transparency, all communication with potential and current donors will be governed by clarity of message and a strict delineation of expectations and rewards. As such, donors will be recognized according to the criteria specified herein and based on any prior agreements made with the donors.

Donor Recognition

All donations made to AU will be recognized by written communication from the Office of Development, or the Chancellor, for major gifts. Other forms of donor recognition will include:

1. Special events organized by the Office of Development in association with relevant AU Offices/Colleges; these can include agreement signing/cheque submission and dedication ceremonies;
2. AU publications and social media channels;
3. Named recognition, which usually requires a minimum level of contribution and is governed by additional terms and conditions;
4. Recognition of annual giving, as per the table below:

Type	AU Friend	AU Associate	AU Partner
Target	NA	NA	NA
Timeframe	Sep. to Aug.	Sep. to Aug.	Sep. to Aug.
Tickets	AED 50 - 499	AED 500 - 1499	AED 1500 - 5000
Recognition	AU Pin	AU Pin and Benefits	AU Pin, benefits and Annual

Donor Naming Opportunities

Donors can be offered a naming opportunity as a higher level of donor recognition. A donor's name can appear on a physical entity within the University, e.g. a building/lecture hall or a bench/tree, or it can be attached to a specific scholarship or research fund…etc.

Donor Privacy and Confidentiality

Donors who wish to remain anonymous will not be named in any internal or external communications. Disclosures shall be subject to legal and audit purpose compliance.

Due Diligence

Ajman University will undertake all reasonable measures to:

1. ascertain the sources of all donations made by individuals, corporate entities, and other organizations;
2. ensure that such donations are made for purposes consistent with the University's ethical principles and strategic plan;
3. ensure that no issues, legal or reputational, are raised by the acceptance of these donations.

The University has adopted/adapted the "Know Your Donor" principles developed by the UK-based Charity Commission, as follows:

- Identify – know who you are dealing with
- Verify – identities and motives against facts/evidence
- Know – the organization's or individual's business
- Know – the reasons for the donations and match them against the history of the individual/organization

Donor Bill of Rights

AU has adopted and adapted the AFP, Association of Fundraising Professionals[3], Donor Bill of Rights, as follows:

Donors have the right:

1. To be informed of AU's mission, and to be reassured of the University's capacity to use donations effectively for the declared intended purposes.
2. To be assured their gifts will be used for the purposes for which they were given.
3. To receive appropriate acknowledgement and recognition.
4. To be assured that information about their donation is handled with respect and with confidentiality, as per any prior agreement.
5. To expect that all relationships with individuals representing AU with the donor will be professional.
6. To have the opportunity for their names to be deleted from shared databases.
7. To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

Compliance

Fundraising at Ajman University shall apply the highest level of compliance to the legal framework for fundraising activity as applicable to UAE organizations and, in particular, higher education institutions.

UAE Legal Framework

All gifts or donations made to the University will be processed by the Office of Development and submitted to the Chairman of the Executive Committee of the Board of Trustees for ratification.

Statement of Ethics

The policy herein has been checked against the International Statement of Ethical Principles in Fundraising, retrieved from: https://goo.gl/hcKtBz

[2] The AFP is based in Canada and operates in Mexico as well. It has been in the not-for-profit fundraising domain since the 1960s.

Appendix 1

جامعة عجمان
AJMAN UNIVERSITY

Named Endowed Scholarship

AU Donors

Contribute AED 1M and receive the following benefits:

- Named scholarship, in perpetuity, and the ability to set certain criteria for student eligibility and selection
  (e.g. country of origin, major, gender).
- Invitation to participate in the scholarship selection process and to meet new awardee(s).
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- Acknowledgment of contribution in a press release.
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Prominent recognition at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

Appendix 2

جامعة عجمان
AJMAN UNIVERSITY

Named Endowed Professorship

AU Donors

Contribute AED 5M and receive the following benefits:

- Named endowed professorship in a discipline and specialisation that interests the donor.
- Invitation to participate in the selection process of the awardee.
- Acknowledgment of contribution in a press release; and subsequent references to the donor in line with press mentions of the awardee.
- VVIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by HH Chairman of the AU Board of Trustees.
- Prominent recognition at the next commencement ceremony.
- VVIP invitation to commencement ceremonies and other AU special events.
- Recognition in the next Annual Report.

/ajmanuniversity development@ajman.ac.ae

Appendix 3

جامعة عجمان
AJMAN UNIVERSITY

Current Fund Contribution

AU Donors

Contribute AED 300K and receive the following benefits:

- Ability to choose fund and/or funds to deposit the donation into*.
- Ability to choose to allocate the donation to a named current fund scholarship.
- Company logo posted on the AU sponsor webpage with a hyperlink to the company's website for one year (corporate sponsors).
- VIP invitation to the AU Annual Dinner.
- Invitation to a special Donors' Dinner hosted by BoT members.
- Mention of donation at the next commencement ceremony.
- Invitation to commencement ceremonies, with reserved seating.
- Recognition in the next Annual Report.

*Graduation Fund, Research Fund, Visiting Professorship Fund, Visiting Scholarships Fund, Social Innovation Fund.

/ajmanuniversity development@ajman.ac.ae

Appendix 4

Named Current Use Scholarship[4]

Part A: Contact Information

Donor(s) Name(s):

_____

Contact(s) Name(s):

_____

Title/ Organization (if applicable):

_____

Address:

_____

Emirate:

PO Box:

_____ _____

Telephone (Home):

Telephone (Mobile):

_____ _____

Telephone (Office): Email address:

_____

Part B: Scholarship Fund Description

A Named Current Use Scholarship Fund can be established with a minimum commitment of $5,000 per year for a period of 4-5 years (depending on the College that the scholarship is restricted to, if any). Unlike an endowed scholarship, these funds are renewable every 4-5 years, and spent in full on the scholarship. Based on the amount donated, the named scholarship can be either a full scholarship or a percentage/partial scholarship offered to students on a restricted or non-restricted basis. Donors will need to fulfil their pledge before naming privileges are granted. **Scholarships can be named after the donor or any individual or group the donor wishes the scholarship to bear the name of. Scholarship funds can be in honor of living individuals or in memory of departed ones. The University will guarantee this scholarship for its duration and will be subject for renewal by mutual agreement between the donor and the University. One student will benefit from the scholarship every 4-5 years.**

Part C: Selection Criteria for Named Current Use

Scholarship Fund Please select your scholarship:

☐ **Non-restricted scholarship (this means that anyone can apply and it is up to the University** Scholarships Committee to decide on the awardee)

Restricted scholarship (if this option is ticked, please tick all that apply below)

[3] Currently available to undergraduates only.

Scholarship recipient must be[5]:

☐ A Full-time student ☐ A Part-time student ☐ A Full-time or part-time student
☐ Female ☐ Male
☐ Aged 17-19 ☐ Aged 20 -22 ☐ Aged 22+ (mature student)
☐ A holder of a_____passport/A_____national
☐ Applying to the College of_____(Better to add the program/ major) In financial need (better to mention that the committee will decide)
☐ A holder of a UAE Secondary School Certificate with an average of 90% and above (or equivalent) Other (please specify in the space below)

_____

_____

Part D: Scholarship Name for Named Scholarship Fund

Official name of scholarship:

_____

☐ In honor of: _____

☐ In memory of: _____

Information about the individual(s) or organization(s) after whom/which the scholarship is named:

_____

_____

Part E: Scholarship Amount

☐ AED 25,000

☐ AED 50,000

☐ AED 75,000

☐ AED_____(minimum contribution

is USD 5000) Please choose a payment option:

1. The scholarship will be funded by a single gift of ■ AED_____of the full amount in one instalment.
2. The scholarship will be funded by an initial gift of the equivalent of 25% of the total amount pledged. This is equal to AED_____. The initial payment will be followed by three payments of AED ……. in September *(Insert Year)*_____and September *(Insert Year)*_____and September *(Insert* Year)_____. **All payments must be received in the form of PDCs at the date of signing this agreement in order for naming privileges to be granted.**

Part F: Acknowledgement and Recognition

Ajman University can publicize my donation

☐ Yes

☐ No

If yes, can the University include the donor name (as indicated on page 1 of this form)?

☐ Yes

[4] AU Scholarships Committee will undertake all deliberations related to awardee selection. Donors are welcome to attend Committee meetings and participate in the selection process.

☐ No

Part G: Signatures

I hereby agree to the terms and conditions set out in this form and commit to financial obligations within the timeframes specified. I understand that the scholarship will be made available for students making applications for the September/February intake following the signing of this agreement.

Donor's Printed Name	Donor's Signature	Date
_____	_____	_____

Appendix 5

FUNDRAISING PROPOSAL AUTHORISATION FORM

Submitted bv:		
Name:		
Position:		
College/Office/Student Group:		
Mobile:		
Email:		
1. *Please provide a detailed overview of what project/need funding is being sought for:*		
2. *Please detail from whom support is being requested and their contact details. Where support is being requested from a company or trust please list the details of the individual to whom the proposal will be sent and their contact details?*		
3. *Timeline (When do you expect to make the request, receive funding, expend funds and report to donor and University?)*		
4. *Benefit/s to Donor?*		
Approved By:		
Dean/Manager/Council Member	**Signature**	**Date**
Director of Development	**Signature**	**Date**
VCAC	**Signature**	**Date**

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	11/10/2017	Initial policy draft	Development Director
V 1.1	07/02/2018	Final Approved Policy	VCAC

J. Research and Scholarly Activities

جامعة عجمان
AJMAN UNIVERSITY

Research Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of GSR
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Aug. 2020

General Policies

1. Ajman University considers research among the most important responsibilities of its faculty members. It encourages, facilitates, and supports all faculty members in their research activities in all disciplines.
2. All AU faculty members (Assistant Professor and above) are expected, to conduct research and engage in scholarship as well as publish and share their research findings.
3. Faculty members can conduct academic or practice-oriented research in their area(s) of specialization and participate in inter-disciplinary research. They can also conduct pedagogic research.
4. The University expects high quality research and scholarly contributions from each faculty member (Assistant Professor and above). The research and scholarly outputs may include, but not limited to, the following: (1) creative work and publications in refereed journals, book publication, book chapters and publications in conference proceedings, (2) Research project development, and internal and external research grants. Each faculty member (Assistant Professor and above) is expected to publish articles in a journal of high impact factor or high-quality category (such as A*, A, B, and C) or proceedings of prestigious research conferences. Such classification will be made by the CRC of each college and approved by the DGSR.
5. The research performance of faculty (Assistant Professor and above) will be a key factor in their annual evaluation as well as for their promotion to a higher rank.
6. College Deans, in coordination with the DGSR, are responsible for developing and implementing a concrete research plan and a strategy aligned with AU strategic plan. In coordination with the CRCs, they shall define research objectives for their college and KPIs for measuring the achievement of these objectives.
7. The DGSR shall provide grants for research projects and research travel grants on college-wide competitive basis in accordance with its policies for AU funded research grants.
8. AU shall support and facilitate Collaborative Research conducted in cooperation with public and private institutions and industry.
9. The University, through the DGSR, shall provide assistance to faculty members for obtaining research grants from external sources in accordance with its policies for externally funded research grants.
10. Researchers shall follow the highest ethical standards in all aspects of their research work. They shall also abide by the applicable confidential requirements set by AU.
11. Researchers shall abide by the University policies on Intellectual Property Rights.
12. In some special cases, the teaching load of an outstanding researcher may be reduced with the approval of the College Dean and the Vice-Chancellor for Academic Affairs (VCAA).

13. The College Deans shall submit an annual report on research accomplishments to the DGSR and the Office of Institutional Planning and Effectiveness (OIPE) at the end of academic year. They shall also submit to DGSR a plan regarding proposed research projects for the next academic year.

14. The DGSR shall form a Research Ethics Committee (REC), at the University level, with well-defined role and objectives.
15. The REC ensures that research work involving human or animal objects follows specified national and international standards and guidelines.
16. Outstanding researchers will be recognized and rewarded by the University.
17. AU will not tolerate research misconduct including fabrication, falsification or plagiarism in carrying out research or publishing its results.
18. The VCAA shall decide on all cases not provided for in this document.

General Procedures

1. The DGSR, in collaboration with College Research Committees, will take all necessary actions to promote research at AU including internally- and externally-funded research. These actions include development and implementation of procedures for internally- funded research projects, mechanisms for projects evaluation and payment of compensation to researchers for externally-funded projects, establishing and maintaining contacts with external funding sources, spreading awareness among all faculty members about research funding opportunities, providing administrative support to faculty members for obtaining external funds, and continual follow-up of research projects, etc.
2. The DGSR shall develop a systematic procedure for rewarding outstanding researchers at AU on a yearly basis.
3. Each College Dean, in consultation with the College Research Committee (CRC), will submit research projects planned for the following academic year and accordingly propose the required research budget.
4. The DGSR will hold workshops/seminars to spread awareness about research policies and procedures as well as research funding opportunities.
5. All support departments, including HR and Finance, shall be made aware of the new policies, especially those involving full time Research Assistants. They shall also be directed to provide full support for promoting research at the University.

Research Ethics Committee (REC)

The Dean of Graduate Studies and Research shall form a Research Ethics Committee (REC), in consultation with College Deans, to ensure that research work involving human or animal objects follows specific ethical guidelines consistent with national and international standards. The Dean of Graduate Studies and Research shall appoint the Head of the REC. The REC shall be approved by the VCAA.

The REC shall develop the regulations, guidelines, and approval mechanism for issuing a certificate of ethical clearance (CEC) to research projects involving human or animal objects. These regulations and guidelines shall be approved by the Dean and the VCAA.

All research work conducted by faculty and students at the University that requires ethical approval of the research project must obtain a certificate of ethical clearance (CEC) from the REC before initiating the project. This requirement is applicable to both funded and non-funded projects

Research Budget

Ajman University shall provide an annual research budget to the DGSR for promoting research at AU. The Dean of Graduate Studies and Research shall prepare an annual budget, and submit proposal to the VCCA for approval.

Each college shall specify and get approved its research budget. Once the research budget has been officially approved for each college, it shall be transferred to the account of DGSR. The DGSR shall provide the funding for all approved research projects, based on the recommendations of the CRC, Council of Research and VCAA (as applicable). The funding for approved research projects for each college shall be provided from the allocated research budget for each college. The DGSR may also utilize its own budget to promote research at AU.

Collaborative Graduate Studies and Research

With the assistance of the Office of International Academic Affairs and all academic colleges, the DGSR shall promote collaborative graduate studies and research with high-ranking international institutions.

The collaborative graduate studies and research agreements with international academic institutions shall be made with the purpose of promoting graduate studies and research activities at AU as well enhancing University's reputation and ranking. The agreements must be consistent with AU policies and should clearly state the objectives of the agreement, its duration and process of renewal, responsibilities of both parties, in particular the financial responsibilities, and other issues of legal importance.

The DGSR shall develop policies and procedures for promoting exchange visits with international institutions with the objective of enhancing the quality of graduate programs and research at AU.

Research Groups/Centers

The DGSR shall encourage and assist in the formation of research groups, within and among disciplines that focus on research fields with strategic importance to AU and its academic colleges and partners.

The College Deans shall be responsible for identifying select number of fields for Research Groups, getting its approval from the College Council, and recommending these to the DGSR for approval.

The research groups shall serve as a nucleus for future research centers and centers of excellence.

AU shall provide separate budget for supporting the research infrastructure and research activities of the selected Research Groups approved by the DGSR.

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	24/10/2010	Initial policy	University Research Council
V 1.1	20/02/2013	Minor change	Research, Information and Training Council
V 2.0	09/04/2017	New Policy – new procedure and regulations to support scholarly activities	Dean of Graduate Studies and Research

V 2.1	21/10/2018	Minor changes to Policies and Procedures / adding of new sections: Budget and research groups	Dean of Graduate Studies and Research

Research Strategy Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Aug. 2020

Purpose

Ajman University considers research a significant part of University's purpose and accordingly places strong emphasis on impactful research and scholarship. One of its key strategic goals is to enhance the quality, relevance, and impact of research and intellectual contribution by its faculty and students.

Statement

Ajman University's commitment to research, scholarship, innovation and creative activity is reflected through provision of appropriate physical, fiscal, and human resources. Its research strategy, as described below, supports and promotes research and scholarly activities directed towards the creation, integration, and application of knowledge**:**

1. Nurture a culture of research across all disciplines and at both graduate and undergraduate levels.
2. Identify research areas of significance for academic colleges, University, and community at large. These shall include some relevant research areas identified in UAE Vision 2021, Ajman Vision 2021, and the Abu Dhabi Economic Vision 2030.
3. Increase AU's national, regional, and international ranking in research and scholarship by hiring, retaining, and rewarding outstanding research-active faculty.
4. Improve the research infrastructure and funding mechanisms at AU to promote research across all disciplines.
5. Enhance cooperative research through research collaboration, strategic partnerships, and engagement with industry, business, and government organizations.
6. Provide sufficient budget for internally-funding research grants for faculty, their professional development and performance enhancement. Also, improve the number and quality of externally-funded research grants.
7. Recruit outstanding graduate students through scholarships and awards from internal as well as external sources.
8. Enhance the quality of existing graduate programs and introduce new graduate programs reflecting global trends and catering to local and regional market needs.
9. Encourage and support organization of research conferences and research competitions.
10. Provide concrete incentives (financial and non-financial) for faculty members to conduct high-quality and high-impact research.

Research Expectation

The University expects high quality research and scholarly contributions from each faculty member (Assistant Professor and above). The research and scholarly outputs may include, but not limited to, the following: (1) creative work and publications in refereed journals, book publication, book chapters and

publications in conference proceedings, (2) Research project development, and internal and external research grants.

Key Performance Indicators

1. Starting from 2017-18 academic year, the number of published papers per college per academic year shall exceed one-quarter of the number of faculty members in that college. This number shall gradually increase over the coming years and by 2022, the number of published papers per college per academic year shall exceed one-half of the number of faculty members in that college.
2. Each college shall set a minimum target of achieving 20% of the published papers in A*, A, or B category journals in the academic year 2017-18. This percentage shall be gradually increased over the coming years and by 2022, 50% of the published papers shall be in A*, A, or B category journals.
3. Each college shall set a target for submitting proposals for internal and external research funds. Starting from 2017-18 academic year, each college shall aim to submit at least one research proposal for externally-funded grants.
4. Each college shall initiate at least one interdisciplinary research per academic year.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	24/10/2010	Initial policy	University Research Council
V 1.1	20/02/2013	Minor change – framework for planning and research clusters	Research, Information and Training Council
V 2.0	09/04/2017	New Policy	Dean of Graduate Studies and Research
V 2.1	21/10/2018	Minor changes to KPIs	Dean of Graduate Studies and Research

Quality Research Publications Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Aug. 2020

Introduction

1. Ajman University encourages and requires its faculty members to conduct high quality and impactful research in their areas of specialization and publish their research findings in reputable journals.
2. The University does not encourage its faculty members to publish in paid journals and no publication charges will be paid by the University. However, in some exceptional cases, the faculty may request publication charges by providing rational of publication in a paid journal. Such requests must be supported by CRC and consider on a case-by-case basis by the Dean of GSR.
3. The University has taken a number of steps to support its faculty towards achieving this goal. As an additional incentive, the University has adopted a policy to provide financial reward for quality research and its dissemination in reputed journals.
4. The financial incentive has been specified for research papers published in Scopus-indexed journals only. This policy will become effective starting from academic year 2018-19.
5. The Dean of GSR shall invite all faculty members in the Colleges to apply for the financial reward at the beginning of each academic year for papers published in Scopus-indexed journals during the previous academic years, exact dates will be determined according to the University academic calendar.
6. The maximum financial reward for research publications received by an individual faculty member shall not exceed 15,000 AED in one academic year, except if all submitted papers are in SCOPUS-Q1 and SCOPUS-Q2 category.

Policy for Papers Published in Scopus-Indexed Journals

For papers published in Scopus-indexed journals, the payment per AU author shall be as follows:

Table 1. Financial incentive for papers published in Scopus-indexed journals

SN	Number of Authors	Payment per AU Author (AED)
1	1	6000
2	2	5000
3	3	4000
4	4 or more	14000 / Number of Authors

If there is only one AU author and all other authors are external, and the AU author is the first author, then the AU author will be rewarded as 6,000 AED.

Policy for Book Chapters and Books

1. For each book chapter contributed in a publication by a reputed publisher, as determined by the College Research Committee (CRC) and approved by the College Dean and the DGSR, the AU author(s) shall receive a net amount of AED 1,000. The Dean may request HOD to verify that the contents of the book chapter are related to the specialization area of the author(s).
2. For each book published by a reputed publisher, as determined by the College Research Committee (CRC) and approved by the College Dean and the University, the AU author(s) shall receive a net amount of AED 3,000. The HOD shall verify that the book is written in the specialized field of the author(s).

Document History

Version	*Date*	*Update Information*	*Author/ Reviewer*
V 1.0	21/10/2018	New policy	Dean of Graduate Studies and Research

Research Conferences Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs	Effective Date	Oct. 2018
		Next Review Date	Aug. 2020

General Provisions

1. The provisions of this Policy shall apply to all faculty members of Ajman University regardless of their ranks.
2. All full time research assistants (FTRA), working in research groups, may apply for conference travel for partial funding, subject to the approval of DGSR.
3. Each College shall propose its budget for professional development of its faculty including their participation in research conferences and presentation of research papers, and get it approved from the University. The approved budget of each College for participation in research conferences shall be transferred to the DGSR. The DGSR shall utilize the budget allocated for each College to cover the research conference participation expenses for faculty members from that particular College. This will apply to all Colleges in the University.
4. The Vice-Chancellor for Academic Affairs (VCAA) has the authority to approve participation of a faculty member or FTRA, in a research conference upon receiving the recommendation made by the Dean of Graduate Studies and Research.
5. Faculty members or FTRAs interested in presenting their papers at research conferences shall submit their request to their Head of Department (HOD). The HOD shall form an ad-hoc committee to review the paper and give its recommendation, considering the quality of the submitted paper and the reputation of the conference.
6. The conference participation request ad-hoc committee shall consist of at least three members, including the department representative of the CRC.
7. The HOD shall forward the request along with the review report and recommendation of the ad-hoc committee to the College Dean.
8. The Dean, after his/her endorsement, submits the request to the Deanship of Graduate Studies and Research. The submission shall include the following:
    a. A completed conference participation workflow, including ad-hoc committee report.
    b. Proof of paper acceptance from the conference organizer.
    c. A copy of the accepted research paper.
    d. Peer review reports of the paper from the conference, if applicable.
    e. Approval from the budget office, LPO form.
    f. Any other document, as required.
9. The Dean of GSR shall add his/her recommendations and forward complete application to the VCAA for final approval.
10. The applicant shall have completed at least one year at the University before applying for approval to be funded for presenting a paper in a conference. However, in exceptional cases, the Dean may recommend an applicant who has not yet served AU for one complete year.
11. An applicant may not be funded to present a research paper in a conference that is held outside UAE more than once in an academic year. However, in very special cases, the Dean may recommend a faculty member to participate twice per academic year provided that sufficient budget is available for other eligible applicants to avail at least one participation per academic year.

12. Requests for attendance-only participation (without the submission of a research paper or keynote speech) or participation in some professional events, workshops, etc. shall be submitted by the College Dean to the AU Delegation Committee, headed by the Vice-Chancellor for Advancement and Communication, for its approval. The DGSR shall only be concerned with presentation of papers in research conferences.
13. AU faculty member may not participate in a conference when his/her presence at the University is deemed necessary by the HOD and Dean. Such cases may include the following:
    a. Visit of an academic accreditation team to the faculty member's department.
    b. Students' registration periods.
    c. Examination periods.
    d. During summer semester if the faculty member is teaching a course.
14. In case of multiple applications for participation in the same conference and lack of sufficient funds, selection shall be made by the Dean according to the following conditions and order of priority:
    a. Applicant's area of expertise in relation to the conference theme.
    b. Applicant carrying out organizational duties at the conference.
    c. Applicant with least recent conference participation.
    d. Applicant with partial external funding.
15. In case of multiple simultaneous applications for participation in different conferences and lack of sufficient funds, the Dean shall give priority to conferences that are more relevant to the research areas of interest for the College and its future research projects.
16. If a conference is postponed after a participation mandate has been issued, the applicant is allowed to attend the same conference on its newly announced dates after notifying the Dean of Graduate Studies and Research and submitting the documents of conference postponement and its announcement of new dates.
17. If a participant is denied entrance to a host country, he/she is allowed to apply for participation in another conference in the same academic year.

Evaluation Criteria

1. Faculty members are strongly encouraged to submit papers and attend prestigious conferences of international reputation, generally indexed by Scopus. Faculty members may allow to participate in non-Scopus conferences, however, in this case the department ad-hoc committees are required to scrutinize the quality of such conferences and provide rational for participation in such conferences.
2. The department ad-hoc committee shall use the following criteria to determine the eligibility to participate in a conference and present the research paper:
    a. The conference is organized, sponsored or supported by well-known professional organization or association.
    b. The conference has good reputation in the specialized discipline and it is listed in the database prepared by the College Research Committee (CRC) and approved by the College Dean.
    c. The papers published in the conference proceedings will be indexed by reputed sources.
3. Preference will be given to applicants who have not benefited from an earlier University authorization to participate in a conference in the same academic year.

Financial Allocation

The funding approved for presentation of a research paper shall cover the following:

1. Conference registration fee, if applicable.
2. A return airfare ticket from the UAE to the conference host country. The ticket shall be of the same class as the faculty member's contractual airfare allocation.
3. Visa fee, if applicable.
4. Daily expenses for the duration of the conference. Funding covers up to three conference days in addition to two travel days (departure and arrival).
5. Participants receive 50% funding per diem if the organizing host provides accommodation.

Participation Decisions and Grievances

1. Decisions relating to conference participation shall be made by the VCAA upon the recommendation of the Dean of Graduate Studies and Research (GSR). The recommendation of the Dean of GSR shall be based on the recommendation of the College Dean and department ad-hoc committee.
2. The Dean of Graduate Studies and Research shall always submit its recommendation to the VCAA regardless of whether the decision is for approval or rejection.
3. Any grievance regarding the decision shall be submitted by the concerned faculty directly to the VCAA.
4. The VCAA may form an ad-hoc committee to review the grievance or directly make a decision. The decision made by the VCAA shall be final.

Duties of Funded Faculty Member

1. A faculty member funded to attend a conference represents the University and is therefore responsible for communicating a positive image of the University by making an impressive presentation based on high-quality research, and commitment to UAE as well respect to the ethical values of the host country.
2. A faculty member funded to attend a conference shall, upon his/her return, submit the following to the College Dean:
    a. Copy of the passport with entry and departure stamps, or copy of boarding passes
    b. Reimbursement Claim Form, attaching the following:
        - Copy of air tickets and proof of payment, if applicant purchased air ticket himself/herself
        - Visa fee receipt (if paid by the applicant)
        - Registration receipts (if applicable)
        - Per Diem charges as mentioned in LPO and approved by the Finance Office
3. The College Dean shall submit the above documents to the DGSR for reimbursement of requested funds. The DGSR shall forward these documents to the Office of Human Resource for the payment.

Self-Funded Participation

1. A faculty member may also be permitted to attend a conference more than once in an academic year if he/she is invited as a keynote speaker and his/her expenses are totally borne by the

conference organizers, provided the approval is obtained from the HOD and the College Dean. The Dean of Graduate Studies and Research shall be notified thereof.

2. A faculty member may apply for participation in a conference at his/her own expense. For self-funded conferences, the approval of the HOD and College Dean is required. The Dean of Graduate Studies and Research shall be notified thereof.
3. The self-funded faculty member shall be granted paid leave for up to a maximum of three days, in addition to two days for travel.
4. The participant shall be entitled to all non-financial benefits provided for in this Policy, and shall commit to all the obligations stipulated in this Policy
5. The Dean of GSR may allow reimbursement of conference registration fee for a self-funded participant or non-participating applicant.

Participation in Thesis Jury

1. A faculty member may, with the consent of the HOD and College Dean, participate in a thesis jury to assess Master's or Doctoral theses, either within or outside the UAE. The Dean of Graduate Studies and Research shall be notified thereof.
2. The faculty member participating in a thesis jury shall be entitled to one day of paid leave when the thesis defense takes place in the UAE, and to three days of paid leave when the thesis defense takes place outside the UAE.
3. The participant shall be entitled to all the benefits provided for in this Policy, except for the financial allocations set forth in this chapter.

Domestic Conferences

1. The College Dean, upon recommendation of the HOD, may permit faculty members to attend conferences held in the UAE. In such cases, the College shall bear the conference participation expenses, including conference registration, travel and subsistence.
2. If the faculty member is presenting a paper at domestic conference, he/she is entitled to hotel accommodation of up to two nights provided the conference venue is located at a distance further than 100 Kms from the University campus.

Role of the Office of Public Relations

1. The Office of Public Relations at AU shall make the necessary arrangements to facilitate attendance of approved participants at the conference. To that end, the Office of Public Relations shall:
    a. Assist the participant in obtaining an entry visa (if required).
    b. Make booking arrangements and issue air tickets and accommodation.

Timeline for Conference Participation Applications

1. Conference participation applications can be submitted anytime during the Fall and Spring semesters only.
2. The following timeline shall adhere in all conference participation applications:
    a. Applicant must submit a conference participation application to the HOD within a week of receiving the notification of acceptance from the conference.

b. The college process conference participation application and forward complete application, with all the relevant documentation, within two weeks of the receipt of application to the DGSR.
c. The Dean of GSR endorse application with his/her recommendations and DGSR forward application to VCAA within two working days from the date of receiving complete application from the college.

The VCAA office return application to DGSR within three working days of the recipet of application and applicant will be notified.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	21/10/2018	New policy	Dean of Graduate Studies and Research

Visiting Scholar Policy

Policy Owner	Dean of Graduate Studies and Research	Responsible Office	Deanship of Graduate Studies and Research
Approved By	Vice Chancellor for Academic Affairs (VCAA)	Effective Date	Mar. 2019
		Next Review Date	Aug. 2021

Scope of this Document

This document is applicable to all academic colleges at Ajman University (AU).

The term visiting research scholar or visiting scholar, as refer in this document, refer to any scholar who visit AU for a shorter duration. This document is not applicable for sabbatical visits or visits of academics at AU exceeding maximum of two weeks.

Introduction

Visiting Research Scholars can expand the academic, research and intellectual AU community and foster a collaborative research environment at AU. The University has recently taken a number of initiatives to promote research culture at AU. As a new initiative, the University has adopted a policy to support the visit of a research scholar for a short duration to AU.

A visiting research scholar may engage in activities such as offering research seminars, capacity building training sessions, (e.g. research methodology workshop), participation as an expert in an experiment/clinical experiment, engage in meetings with research groups, etc. at AU campus. Such a scholar may be one who is already engaged in some other professional or creative activities at AU and his/her visit may extend to collaborate on research and scholarship.

Eligibility Criteria for a Visiting Research Scholar

The eligibility criteria for the visiting scholar is as follows:

- The visiting research scholar must provide recognizable benefits to the academic and research community of the host college.
- The visiting scholar must be recognized as an international expert in his/her specialized area of research (e.g. research publications, global ranking of his/her institute, citations of his/her research articles, alma meter etc.) or already established research collaborations with an AU research group.
- The visiting research scholar must hold an active (or on sabbatical leave) appointment with another reputable academic institution or be engaged in relevant professional organization.

Policy

- The visiting research scholar shall be invited to visit Ajman University for a shorter duration.

- The visiting research scholar is responsible to cover travel insurance (including health insurance) of his/her AU visit.
- The visiting research scholar may also require to cover any additional insurance, particularly if his/her work at AU involves use of chemicals or other high-risk materials or activities, by himself or herself. AU will not provide any financial compensation to the visitor in this regard, unless pre-approved from a suitable fund for specified purpose(s). In addition, AU will not be liable for the visitor in any legal, health, accident, emergency, etc. related matters.
- The total cost to AU for a visit of a research scholar to AU shall not exceed 15,000 AED.
- An academic college can submit up to 2 applications to invite a visiting research scholar in any academic year.
- The financial support provided by AU may include:
    - A economy class return air fare from his/her country of residence to AU. The tickets may be booked, preferably, by the AU Public Relations Office.
    - Local accommodation with breakfast and meals only and book by AU Public Relations Office. The hotel stay supported by AU shall not exceed 5 nights.
    - Local hospitality during the working hours, arranged by the host college.
- The visit of the scholar must be completed during the same academic year in which it approved.
- The academic college shall provide the basic resources to the visiting research scholar as deemed appropriate by the respective college dean.
- AU Public Relations Office may provide assistance to the visitor in applying for the UAE entry visa, if required.
- The visiting research scholar must accept and follow all applicable rules and regulations of AU and the UAE.
- In case of any force majeure, AU will assist the visitor in returning to his/her place of residence.

Procedures

- Any Full Time (FT) faculty member (host AU faculty) may nominate a research scholar (who fulfils eligibility criteria) with a strong research profile to the College Research Committee (CRC) for review.
- The host AU faculty submits a proposal, along with a CV of the visiting scholar and a letter of intent from the candidate to the CRC. The proposal must include details such as dates and duration of stay, purpose of visit, a detailed plan during the visit, facilities required, expected benefits to AU faculty / staff, etc.
- The CRC assess the eligibility and suitability of such a visit by considering factors that may include but not limited to the following:
    - Analysis of the expertise to be shared at campus, [number of intended learners, expertise required in enhancement of research capabilities, experiments, etc.]

  - Non-availability of such expertise at campus
  - Expected benefits and outcomes of the visit
- The CRC head submits recommendation to the College Dean along with all the documentation received from the host AU faculty member.
- College Dean shall forward complete application to the Dean of GSR, along with his/her endorsement.
- The Dean of GSR shall submit application to the VCAA for the final approval with his/her recommendations.
- The final decision shall be communicated to College Dean, Budget Office, Public Relations Office and Office of Finance by the Dean of GSR.
- The Dean of GSR also communicate to the visiting research scholar and invite him/her to visit AU at a mutually convenient time. The visit time shall agree directly by the college with the candidate.
- The host AU faculty shall submit a post-visit report (within one month of visit) to the College Dean, explaining the following:
  - Brief introduction of the visitor
  - A brief summary and reflections of all the activities during the visit
  - Gain and experience / outcomes of the visit
  - Comments and Suggestions
- The college dean forward this report to the DGSR.
- The VCAA shall decide on all cases not provided for in this document.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	13/04/2018	New policy	Dean of Graduate Studies and Research

K. Community Engagement

جامعة عجمان
AJMAN UNIVERSITY

Community Engagement Policy

Policy Owner	Community Engagement Manager	Responsible Office	Office of Community Engagement
Approved By	Vice Chancellor for Advancement and Communication	Effective Date	Sep. 2017
		Next Review Date	Jul. 2020

This policy aims to promote community engagement by students, faculty and staff and integrate it into various academic activities, as well as it provides highlight areas on the relationship between employers and the University.

Institutional Engagement

AU believes that Community engagement is not a separate or distinct activity, but rather a shared enterprise with its community partners that involves an exchange of knowledge and expertise that will generate mutual benefits essential to advancing knowledge and understanding. These exchanges are undertaken through the following academic endeavors:

1. *Relationship Development:* AU aims to develop and improve its engagement with government and private sector authorities, at the local, regional and international levels by:
    - Organizing various seminars and workshops in order to promote and display AU significant role in the society.
    - Initiating special training programs for AU staff who are directly involved in communication with students and alumni as well as external entities.
    - Getting involved in external relations, particularly charitable associations as well as other funding entities, to make sure that enough financial resources are available to finance some AU's students who are suffering from financial problems.
2. *Students Experience:* Offer student the opportunity of helping others and giving back to society.
    - Encourage students to get involved in societal activities on and off campus.
    - Create various volunteer programs that may help students develop a sense of belonging to the community.
    - Set up partnerships (i.e. strategic alliances) with charitable institutions.
3. *Strengthen Student Engagement:* Create opportunities for AU students and alumni to build strong career life and overcome future concerns and obstacles.
    - Provide individual and group career counseling and career direction services to students and alumni.
    - Conducting workshops related to student career development, employment strategies and techniques as required.
    - Explore students' interests, personality, work values, and skills in finding suitable careers.
    - Determine where students are in their career decision-making process and suggest appropriate self-assessment tools to meet their needs.

- Organize career fairs in collaboration with local government associations, civic associations, private organizations and community leaders.

4. *Communication Outreach:* Enhance current channels of communication between the university and its alumni on the one hand, and among alumni themselves on the other hand, in line with AU philosophy and vision.
    - Establish and foster a basis of lifelong professional and personal relationships between the University and its alumni.
    - Provide alumni with opportunities to contribute to and participate in the decision-making process at the University (e.g. seek their feedback).
    - Keep contact with professional bodies and alumni organizations mainly to identify alumni career opportunities, in line with the AU vision of bridging the gap between academia and society.
    - Develop fundraising activities in collaboration with external associations.
5. *Marketing Support:* Develop plans to promote AU academic programs and services.
    - Develop regular communication with different media sources through encouraging AU faculty and staff to participate in diverse media programs.
    - Build effective relationship between AU and media institutions to promote all AU activities and programs.
    - Design and print brochures, flyers, posters and ads in order to build AU reputation.
    - Follow up AU news and activities in local as well as international media.
6. *Student Financial Services:* Deliver a high level of service to support students in achieving their academic goals by helping remove financial barriers.
    - Establish collaborative partnerships with charitable associations (i.e. MoU) to obtain financial resources.
    - Conduct various workshops for AU community to increase their awareness of the services offered by the Financial Aid and Scholarship Division.
    - Create a climate that promotes continuous improvement.
    - Create and update the financial aid roles and procedures.
    - Implement an effective student aid delivery system.
    - Develop customer service offered by the Financial Aid division.
    - Improve communication between private scholarship's recipients and their donors.

AU Employer Engagement

Ajman University identifies building enduring and meaningful relationships with the external community as one of its strategic priorities. Employers are definitely an important part of that external community that AU always seeks to engage with whilst simultaneously offering opportunities for reciprocity of this engagement. As such, the University will embed within its activities a focus on developing, fostering and nurturing mutual cooperation between its Colleges/Offices and employers in the UAE and the region.

Key Areas of Employer Engagement

1. Curriculum Evaluation: Ajman University will, through the formation of Advisory Groups, Curriculum Development Think Tanks and other such entities, engage employers in dialogue about the academic programs offered by the University. Such an engagement lies at the heart of boosting AU graduate employability and at ensuring that the needs of the job market are appropriately met. It is the responsibility of each College to organize meetings with employers, record deliberations and include recommendations within their Annual Plans.
2. Internships and Placements: Ajman University will, through the Office of Careers and Placement as well as through Colleges, secure practical training and work experience for its students in order to better equip them for the job market.
3. Sharing of Expertise: Ajman University will, through its Colleges, reach out to corporate entities and various governmental and non-governmental institutions in order to share the expertise of its faculty/staff in their respective disciplines and areas of expertise.
4. Shaping the Future: Ajman University will, through its Deanship of Student Services, organize events that empower students to voice their opinions and share their ideas about the future with corporate and industry partners. The hosting of events whereby the main focus is to bring undergraduates together with established businesses in order to have a free interplay of ideas is a step towards ensuring that not only students are aware of the requirements of the job market, but also that employers are aware of what young people are looking for in a potential workplace. This, in essence, will boost retention and mitigate the impact of employee turnover.

Document History

Version	Date	Update Information	Author/ Reviewer
V 1.0	03/09/2017	New policy	Vice Chancellor for Advancement and Communication